

UPDATED AND EFFECTIVE AS OF DECEMBER 1, 2023

Grant Application Guidance and Grant Management Procedures

**For Federal Transit Administration Section 5310: Enhanced
Mobility of Seniors and Individuals with Disabilities Programs**

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Grant Application Guidance

Introduction

The Virginia Department of Rail and Public Transportation (DRPT) has prepared this document to provide grant applicants and subrecipients of the Federal Transit Administration (FTA) Section 5310: Enhanced Mobility of Seniors and Individuals with Disabilities program with information on the application requirements and procedures for managing an award.

This document is the primary resource for the Section 5310 program administered by DRPT, to assist with DRPT's grant application and post-award project management process. Other resources include DRPT's grant webinars. In addition, DRPT staff is available anytime during the year to provide technical assistance and answer questions regarding specific grant programs.

State and federal grant funds administered by DRPT support human services transportation throughout the state and DRPT's core mission:

"To connect and improve the quality of life for all Virginians with innovative transportation solutions. The agency works with rail and public transportation stakeholders to provide service to people throughout Virginia and promotes transportation options to the general public, businesses, and community decision makers. As an agency entrusted with public dollars, we seek the highest possible return on investment to maximize funding and strive to implement best practice management tools and techniques."

The Section 5310 program supports capital (including purchased vehicles and equipment, contracted transportation services, and mobility management) and operating costs of transportation services and alternatives beyond those required by the Americans with Disabilities Act of 1990. The Section 5310 program in Virginia includes three types of funding: capital vehicle purchases, operating, and other capital, including mobility management. Capital vehicle purchases follow a specific purchasing process administered by DRPT. Funds are not directly provided to an agency to use on a vehicle purchase. Operating and other capital projects are paid on a reimbursement basis for eligible expenses.

Applications for funding are not officially approved until the Commonwealth Transportation Board (CTB) approves DRPT's Six-Year Improvement Program (SYIP), typically at the CTB's June meeting. The funding for approved programs and projects is available on October 1. All Section 5310 projects have a 12-month demonstration period; any funds not used as of September 30 of the demonstration period will be deobligated.

Grant Program Schedule

Each year, the application and award process for the Section 5310 program takes place between December 1, when the application period opens, and early June, when the CTB releases the final SYIP that contains all approved grants. To qualify for these funding programs, potential applicants must complete a series of requirements during and outside of the open application period.

The table below highlights the major process steps and informational opportunities in DRPT’s annual grant application and award process. Note that deadlines referring to the first day of the month (e.g., December 1 and February 1) are to be interpreted as the *first business day of the month*.

Grant Application and Award Schedule*

Step	Type	Schedule
<p>Pre-Application Workshop Provides applicants with information on the upcoming grant application process.</p>	Informational	October
<p>Coordinated Human Service Mobility Plan: Regional Meetings All potential Section 5310 program applicants must attend a coordination meeting to be eligible for funding.</p>	Requirement	November
<p>Grant Application Period The grant application is open for all grant programs in DRPT’s online grant system.</p>	Process	December 1 – February 1
<p>Application Due The application is due by February 1 (or the first business day of the month) by 5:00pm EST.</p>	Process	February 1
<p>DRPT Evaluates Grant Applications Staff review grant applications, evaluate and score projects, and create funding recommendations.</p>	Process	February – March
<p>DRPT Develops the Draft Six-Year Improvement Program (SYIP) DRPT develops the draft SYIP, which contains all state and federal grants recommended for funding, including 5310, to present to the CTB. Applicants are notified if they are included in the draft SYIP.</p>	Process	February – April

<p>SYIP Public Review Commonwealth Transportation Board (CTB) releases draft SYIP to the public for review and comment.</p>	<p>Process</p>	<p>April</p>
<p>Draft SYIP Public Hearings CTB holds public hearings to gather input on the draft SYIP.</p>	<p>Process</p>	<p>April – May</p>
<p>SYIP Adopted and Awards Announced in DRPT ODP CTB approves final SYIP. SYIP with final awards is made available to the public and grantees through DRPT's Open Data Portal (ODP).</p>	<p>Process</p>	<p>June (typically)</p>
<p>DRPT Develops and Executes Grant Agreements DRPT staff develop contracts and work with grantees to execute them.</p>	<p>Process</p>	<p>June – October (typically)</p>
<p>Capital-Vehicle Applicants: Customize Vehicle Orders Grantees work with DRPT's vendor to customize the awarded vehicles and finalize cost.</p>	<p>Requirement</p>	<p>August – October (typically)</p>
<p>Post-Award Workshop Provides grantees with information on how to manage the grant funds that they have been awarded.</p>	<p>Informational</p>	<p>End of August/Early September</p>
<p>Grant Funds Available Grantees may start spending awarded grant funds.</p>	<p>Process</p>	<p>October 1</p>
<p>Award Period Ends All awarded funding must be expended or deobligated.</p>	<p>Process</p>	<p>September 30 (of the following year)</p>

*To be added to DRPT's agency-wide communications announcing workshops and other important milestones in the grant process, please reach out to drptpr@drpt.virginia.gov and ask to be added to the 5310 list-serv.

FTA 5310 Grant Program Requirement: Certifications and Assurances

All Section 5310 applications must include execution of the Annual List of Certifications and Assurances for FTA Grants and Cooperative Agreements ([FTA Certifications and Assurances](#)). There are currently 21 categories of certifications and assurances, and every applicant to the Section 5310 program must certify all 21 categories. Each year, the federal document will describe which sections do not apply to the Section 5310 program.

Categories of Certifications and Assurances:

1. Certifications and Assurances Required of Every Applicant
2. Public Transportation Agency Safety Plans
3. Tax Liability and Felony Convictions
4. Lobbying
5. Private Sector Protections
6. Transit Asset Management Plan
7. Rolling Stock Buy America Reviews and Bus Testing
8. Urbanized Areas Formula Grants Program
9. Formula Grants for Rural Areas
10. Fixed Guideway Capital Investment Grants and the Expedited Project Delivery for Capital Investment Grants Pilot Program
11. Grants for Buses and Bus Facilities and Low or No Emission Vehicle Deployment Grant Programs
12. Enhanced Mobility of Seniors and Individuals with Disabilities Programs
13. State of Good Repair Grants
14. Infrastructure Finance Programs
15. Alcohol and Controlled Substances Testing
16. Rail Safety Training and Oversight
17. Demand Responsive Service
18. Interest and Financing Costs
19. Cybersecurity Certification for Rail Rolling Stock and Operations
20. Tribal Transit Programs
21. Emergency Relief Program

FTA's annual certifications and assurances permit the applicant to submit a single certification to cover all the programs for which it anticipates submitting an application. DRPT will provide the FTA Certifications and Assurances form to applicants through its online grant management system. Compliance with applicable certifications and assurances and circular provisions is required as a condition of

funding. **Once available to the applicant, this document should only be signed by an agency's executive director, board chair, or another designated staff member who can provide documentation showing signing authority on behalf of the agency.**

Overview of the FTA 5310 Program

This section provides a general overview of the FTA Section 5310 program, identifies who can apply, describes what types of projects could qualify for funding, and provides subrecipient terms and requirements.

Program Description

The FTA Section 5310 grant program supports transportation services for seniors (ages 65 and older) and individuals with disabilities (not restricted by age). This is a discretionary grant program, and applications are considered on an individual basis each year. An award of funding in any year does not guarantee future funding awards. It is expected that programs will identify and secure additional funding from other sources to support the cost of transportation services.

All demonstration periods under the FTA Section 5310 program are 12 months. These grants follow the federal fiscal year: all grants begin on October 1 and end on September 30 of the following year.

Program Goals

The purpose of the FTA Section 5310 program is to improve mobility for seniors and individuals with disabilities by removing barriers to transportation services and expanding the transportation mobility options available. The program requires coordination with other transportation programs and services to make the most efficient use of federal resources. This program is available to agencies that are proposing services outside of their current mission or operations. Funding is not available to subsidize general operations or replace (supplant) funding from another source.

This program provides grant funds for capital and operating expenses for:

- Public transportation projects planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, inappropriate, or unavailable;
- Public transportation projects that exceed the requirements of the Americans with Disabilities Act (ADA) of 1990 (42 U.S.C. 12101 et seq.);
- Public transportation projects that improve access to fixed-route services and decrease reliance on complementary paratransit; and
- Alternatives to public transportation projects that assist seniors and individuals with disabilities with transportation.

All projects must be planned, designed, and carried out to serve the eligible populations: seniors (ages 65 and older) and people with disabilities.

FTA Source of Funding and Circular

The FTA Section 5310 program is authorized under the Infrastructure Investment and Jobs Act (IIJA), also called the Bipartisan Infrastructure Law, signed on November 15, 2021 (Statutory Reference: 49 U.S.C. Section 5310). There have been no rule changes since the IIJA passed that affect the FTA Section 5310 program. On July 7, 2014, the Federal Transit Administration (FTA) published the Final FTA Circular FTA C 9070.1G, which continues to regulate this funding stream.

Please refer to [FTA's website](#) and [Circular \(FTA C 9070.1G\)](#) for specific compliance information and the full FTA Section 5310 program guidance.

Allocation of Funds

Under the FTA Section 5310 formula, funds are allocated to the recipient (DRPT) using U.S. Census data on seniors and individuals with disabilities, specifically collected through the American Community Survey (ACS).

The Metropolitan Washington Council of Governments (MWCOG) is the designated subrecipient of Section 5310 funds for the urbanized Washington, D.C., Maryland, and Virginia area, and applicants serving this area should apply for that program through MWCOG.

All eligible applicants in rural areas, small urban areas, and the large urbanized areas of Richmond, Roanoke, and Virginia Beach in Virginia should apply to DRPT for funding to support projects under Section 5310 in accordance with this guidance document.

Of the total FTA Section 5310 funds available and allocated to DRPT, FTA apportions:

60% TO LARGE URBANIZED AREAS

- Richmond, VA
- Roanoke, VA
- Virginia Beach, VA
- Washington, DC – VA – MD (managed by Metropolitan Washington Council of Governments)

20% TO SMALL URBANIZED AREAS

- Blacksburg, VA
- Bristol-Bristol, TN-VA

- Charlottesville, VA
- Fredericksburg, VA
- Harrisonburg, VA
- Kingsport, TN-VA
- Lynchburg, VA
- Staunton-Waynesboro, VA
- Winchester, VA

20% TO RURAL AREAS

Each area (Large Urban, Small Urban, Rural) has a specific amount of funding available for DRPT to then allocate to projects within that area. Projects are determined to be rural, small urban, or urban based on the initiating service area. For example, if the project begins in a rural area and takes rural residents to locations in an urban area, but does not transport residents of the urban area, it is considered a rural program.

Program Eligibility and Submission

DRPT has flexibility in how it selects subrecipients for Section 5310 funding and uses a competitive and discretionary application process that is outlined in the state management plan. Subrecipients of this funding can include states, local government authorities, private nonprofit organizations, and/or operators of public transportation.

Designated Recipients and Eligible Applicants (Subrecipients)

DRPT administers the FTA Section 5310 program as the designated recipient, with direct oversight from FTA, for the following areas in Virginia:

- Rural Areas (less than 50,000 people);
- Small Urbanized Areas / UZAs (at least 50,000 people but less than 200,000 people); and
- By mutual agreement, the Large Urbanized Areas / UZAs (200,000 or more people) of Richmond, Roanoke, and Virginia Beach.

The Metropolitan Washington Council of Governments (MWCOC) administers the FTA Section 5310 program for the Northern Virginia jurisdictions, including the City of Alexandria, Arlington County, City of Fairfax, Fairfax County, City of Falls Church, Loudoun County, City of Manassas, City of Manassas Park, and Prince William County. Eligible applicants serving the Northern Virginia area apply to the COG.

Federal guidelines allow DRPT to award FTA 5310 funds to eligible subrecipients, as designated by DRPT.

ENTITIES ELIGIBLE TO APPLY FOR 5310 FUNDING ARE:

- Private nonprofit organizations
- State or local governments that (1) are approved to coordinate services for seniors and individuals with disabilities, or (2) certify that there are no nonprofit organizations readily available in the area to provide the service; or operators of public transportation that receive FTA 5310 grant funding indirectly through a recipient
- Public transportation operators

Subrecipient eligibility is maintained by complying with grant requirements. Failure to comply with grant requirements, including mismanagement of grant funding, can result in the termination of the grant, refund of full or partial grant proceeds, and ineligibility for future grant opportunities with DRPT.

Coordinated Human Service Mobility Plan

The FTA requires that any activity funded under the 5310 program be supported by a coordinated transportation plan that assesses current services and transportation needs of seniors and people with disabilities, identifies strategies to address service gaps, and sets priorities for project implementation.

DRPT's [Coordinated Human Service Mobility \(CHSM\) Plan](#) identifies the transportation needs of individuals with disabilities, seniors, and people with low incomes; provides strategies for meeting those local needs; and prioritizes transportation services and projects for funding and implementation. The CHSM Plan is a single statewide plan that contains regional elements as chapters. The regional boundaries identified in the CHSM are the same as those used by the Virginia Department of Social Services and other Commonwealth agencies that also provide transportation support. DRPT requires that projects selected for funding be consistent with the goals and activities prioritized of the region or regions of which the project is a part. FTA 5310 applicants are required to participate in the CHSM Team meetings each fall prior to the opening of the grant cycle.

The CHSM Plan is updated on an ongoing basis with participation from the public and stakeholder groups, which provide input on unmet needs and help identify strategies for action.

To view the most recent version of the CHSM plan, visit the [DRPT's website](#).

Funding Opportunities and Match Requirements

There are three funding opportunities currently available through the 5310 program:

I. CAPITAL – VEHICLE PROJECTS

FTA refers to as Traditional Section 5310 Projects

Applicants under this project type may request replacement or expansion vehicles. Vehicles must be chosen from DRPT's menu of available vehicles. DRPT orders all vehicles through a standardized process and retains a lien on all vehicles purchased through this program.

Capital - Vehicle projects have an 80% federal match and require a 20% local match toward the actual vehicle cost or amount adopted in the Six-Year Improvement Program (SYIP), whichever is less. The local match is required before the vehicles are ordered and is requested to be provided by check typically in the fall following the grant award. In no case will DRPT provide direct funding for an applicant to purchase a vehicle. If vehicle availability and price fluctuations necessitate a different process or timeline, DRPT will communicate this directly with those affected.

Vehicle costs are limited to the amount approved in the SYIP and are included in each year's grant application so that subrecipients can plan accordingly. Once an awarded vehicle is customized, if actual costs are greater than the amount approved in the SYIP, it is the responsibility of the subrecipient to provide the difference directly to the vendor. If actual costs are less than the amount approved in the SYIP, the difference in federal funds will remain in DRPT's program fund.

It is the subrecipient's responsibility to verify DMV Sales Tax Exemption status. DMV Sales Tax Exemption is separate from the IRS Tax Exemption provided to 501c3 organizations. If the subrecipient is not exempt from sales tax, the sales tax can be added to the total vehicle amount so long as the total does not exceed the amount approved in the SYIP. By default, no vehicle quotes will include sales tax, so please let the vendor know if your organization is responsible for paying this tax.

2. OPERATING PROJECTS

FTA refers to as Non-Traditional Section 5310 Projects

Operating is the delivery of service (trips) beyond existing public and human service transportation options. It can also be thought of as expanding paratransit service beyond the minimum requirements of the Americans with Disabilities Act (ADA). Operating projects have a federal share of 50%. As funds allow, the state provides a 40% match from the state's paratransit funds. These projects require a minimum 10% local match.

Eligible activities include:

- Expanded paratransit (beyond $\frac{3}{4}$ mile)
- Expanded hours
- Same-day service
- Door-to-door service
- Travel training
- Vouchers (volunteer, taxi, human service)
- Publicly available transportation to seniors and individuals with disabilities

Transportation that is provided to a set client base is not public and is not eligible for operating support. Therefore, organizations such as CSBs are not eligible to apply for operating.

3. OTHER CAPITAL PROJECTS

FTA refers to as Traditional Section 5310 Projects

Other Capital projects are capital projects that fall outside of a vehicle request. Other Capital projects have a federal share of 80%. As funds allow, the state provides a 16% match from the state's paratransit funds for non-vehicle purchase projects, therefore,

these projects require a minimum of a 4% local match. Eligible projects and activities include:

- Mobility Management
 - Intended to improve coordination between existing public and human service transportation providers; does not include the cost of trips or providing transportation
 - Trip planning and coordination across agencies
 - One-call/one-click systems
- Travel training
- Capital cost of contracting for services
 - Using a federally compliant procurement process to contract with a transportation provider (such as a turnkey service)
- Other capital purchases, such as: radios and communications equipment, wheelchair lifts and restraints, vehicle rehabilitation, computer hardware and software to be used for transportation programs, and Intelligent Transportation Systems (ITS)

Other capital purchase awards are uncommon and must follow a federally compliant procurement process.

See Appendix I.A. and I.B. for the FTA's list of eligible activities. Note that DRPT has discretion to place limits on which project types are accepted.

Sources of Local Match

For all Section 5310 projects, all local match must be provided from sources other than U.S. Department of Transportation (DOT) funds, and must be a cash match rather than in-kind support. The local match may be derived from other Federal funds that are eligible to be expended for transportation. It is up to each subrecipient to verify the eligibility of funding toward a local match.

Grant Priorities

DRPT has established three funding priorities in rank order:

PRIORITY ONE: Continue support for existing Section 5310 programs; prioritizing capital to meet the FTA's minimum funding requirements.

PRIORITY TWO: Increase publicly available services to the Section 5310 population.

PRIORITY THREE: Expansion vehicles for existing client-based transportation programs.

The Section 5310 program is highly competitive. Funding is prioritized for applicants who are ineligible for FTA Section 5311 or other federal transportation funding. Applicants who are eligible for Section 5311 funds should incorporate their projects into their standard operating and capital applications prior to seeking Section 5310 funding. Applicants who are eligible for Section 5311 or other federal funds and choose not to use these sources may not be awarded a Section 5310 grant and may not have their project incorporated into the Section 5311 application after the fact.

Priority One: To continue assistance for current FTA Section 5310 subrecipients for capital vehicles, operating, and other capital projects, including mobility management. Capital funding categories are prioritized first, followed by operating, to ensure that DRPT meets the minimum requirement to expend at least 55% of each area's apportionment on capital projects. In all cases, there must exist a continuing demand for transportation service for seniors and individuals with disabilities, a need for government subsidy, and a commitment of local financial and administrative support.

Priority Two: To expand the availability of publicly available transportation services for the FTA Section 5310 population. This could include any of the eligible project types – capital vehicles, operating, and/or other capital – and may not be offered on a client- or customer-only basis.

Priority Three: To expand the availability of client- or customer-based capital transportation services. This includes providing expansion vehicles to current Section 5310 subrecipients for client or customer-based services.

Application Submission

Applications for funding for all DRPT grant programs must be submitted through DRPT's online grant management system. DRPT will not accept applications in any other manner than through the online system. Organizations eligible to receive funding must first set up an account in the online system to create, edit, and submit an application.

Applicants must submit a separate application for each funding opportunity they are interested in applying for. The three funding opportunities in the online grant management system are:

- FTA 5310 Human Services Grant Program – Capital-Vehicles – FYXX
- FTA 5310 Human Services Grant Program – Operating – FYXX
- FTA 5310 Human Services Grant Program – Other Capital – FYXX

Many questions in each application are the same, but include specific information required for that type of funding opportunity. An applicant applying for more than one funding opportunity may use the same narrative in each application, if the requests are for the same program. For example, if an organization is requesting funding for three replacement vehicles and operating support to all be used for the same program, they would fill out a Capital-Vehicle application and an Operating application and would use the same narrative for the Project Needs, Goals, and Objectives section.

Organizations are not permitted to apply for funding or vehicles on behalf of other organizations; the organization that submits the application must be the same agency that would ultimately receive funding and/or vehicles and sign an award contract. Any organizations that had been receiving funding or vehicles as pass-through from another agency must establish their own accounts for use moving forward.

Application Selection Process

Before beginning the application process, please ensure your organization is eligible to apply for the FTA Section 5310 grant, as well for the specific project type. Completed applications with required attachments that are submitted on time will be included in DRPT's competitive selection process. Projects will be evaluated based on (1) Grant Priority; (2) Project Needs/Goals and Objectives; (3) Technical Capacity; (4) Coordination Efforts; (5) Project Merit/Reach; and (6) Ability of Applicant to Comply with State and Federal Requirements (grant history). Ineligible applications will not be considered.

Additionally, DRPT will consider the following as part of its review:

- Applications for a replacement vehicle will be evaluated based on the vehicle's age, which is calculated using the in-service date and not the date of manufacture, condition, and mileage. Applicants must identify in the grant application the vehicle identification number (VIN) of each vehicle that will be replaced. Applicants will be required to provide information on the usage of the vehicle, including ridership data, to evaluate vehicles for replacement or expansion. For requests for expansion vehicles, subrecipients must provide in the grant application sufficient data and analysis to demonstrate need for expansion of its rolling stock (Priority #2). The existing vehicle must also be included in DRPT's Transit Asset Management (TransAM) system and have updated asset data, as required, by February 1. All monthly ridership data for the life of the vehicle should be updated in DRPT's online grant system, as required, by February 1.

- The applicant's service area must have a documented need for transportation for seniors and individuals with disabilities, and the project must align with the current CHSM plan.
- The proposed service plan includes a maximum utilization of vehicles for transporting transit-dependent seniors and/or passengers with disabilities in the area.
 - Projects that propose to provide regular transportation with vehicles in use throughout the day will be prioritized over requests for vehicles that will be generally parked and used as needed. For example, a transportation program that provides medical trips Monday through Friday during business hours would receive precedence.
- The application includes supporting data such as ridership projections and trip purposes.
- DRPT encourages the creation of service coordination partnerships among transportation providers and/or organizations. Coordination agreements should be documented and signed by all participating agencies. Examples of written coordination agreements include memoranda of understanding (MOU) and lease agreements. All lease agreements are subject to additional review and approval from DRPT.
- Implementation of a sound comprehensive service management plan.
- Financial and management capabilities, particularly in assuring capital match and operating funds.

Upon completion of the evaluation process, DRPT includes the recommended applications and allocation in the Draft Six-Year Improvement Program (SYIP). Applicants may review the draft SYIP on DRPT's website to determine whether their application was recommended for funding. Upon final approval of the SYIP by the Commonwealth Transportation Board, DRPT will notify successful programs and include grant management guidance, as appropriate.

Project-Specific Requirements and Responsibilities

Capital-Vehicle Projects

The FTA Section 5310 program for vehicle projects does not provide direct grant funding to subrecipients. DRPT will purchase all awarded vehicles using DRPT's vehicle contract(s). It is the responsibility of the subrecipient to complete the vehicle options sheet with the state's contractor after the grant has been awarded.

Subrecipients must maintain a combined single limit of insurance coverage of at least \$1 million on FTA-funded vehicles and must submit proof of insurance annually. Subrecipients must carry enough insurance to replace any FTA-funded equipment, such as van lifts and other apparatus.

Incidental Use of Vehicles

FTA encourages maximum use of vehicles funded under the program. In all instances, vehicles must be used first for program-related needs in accordance with the approved application.

Federal policy does allow some incidental use if the other program or project uses are currently or were previously supported with federal funds. Further, the incidental service may not compete with a public transit service and must not meet the definition of a charter service. This use is considered incidental if it does not interfere with the program use outlined in the application and is limited in time. **Requests for incidental use of vehicles must be submitted to DRPT in writing on an annual basis for approval before engaging in such services.**

If approved in writing by DRPT, the incidental use may begin and must be separately tracked from the Section 5310 service. Miles driven for incidental service do not count against the service life of the vehicle, and a report of incidental miles driven is required to be provided to DRPT on a semi-annual basis by January 15 and July 15.

Any costs associated with the incidental service must be covered by sources of funding other than the Section 5310 program and DRPT. In no case may Section 5310 funds be used to fund an incidental service.

Operating Projects

Operating Projects are issued on a reimbursement basis. Costs must be incurred before payment is made. All costs charged to DRPT-assisted projects must be

supported by properly executed payroll, time records, invoices, contracts, or vouchers evidencing in detail the nature and propriety of the charges. Additional backup documentation is required depending on the type of award. Operating expenses are reimbursed based on net operating expenses (operating expenses less fare revenues).

Operating Budget

Applicants requesting operating support must complete and attach a 12-month line-item budget using the template provided in the funding opportunity. The budget period is October 1 through September 30. For an example

The Budget Excel file includes two tabs: "Budget" and "Fuel, Maint, Ins":

- **Budget Tab:**
 - Using one row per item, list each item for which you are requesting funding and list the total amount requested in the appropriate column (Columns B through H).
 - Add more rows as needed to complete the spreadsheet.
 - For agencies requesting assistance with fuel, maintenance, or insurance, refer to the information regarding the "Fuel, Maint, Ins" tab, below.
 - For agencies requesting indirect/administrative assistance that have a Negotiated Indirect Cost Rate Agreement (NICRA), enter the NICRA percentage in G27. Agencies that do not have a NICRA may request up to the de minimis rate of 10% and should enter this amount in G27.
- **Fuel, Maint, Ins Tab**
 - If requesting assistance with fuel, maintenance, or insurance, use this tab. This sheet will automatically calculate the project fuel, maintenance, and insurance and input the totals in the correct lines on the Budget tab.
 - Enter the total annual budget for each of these three expenses in column B.
 - Enter your agency's total fleet in column C.
 - In column D, enter the number of vehicles to be used for the proposed project.
 - Enter the total number of weekly service hours in column E.
 - Enter the proposed number of project service hours in column F.

Please see Appendix I.C. for a sample line-item budget.

Other Capital Projects

Other Capital Projects are issued on a reimbursement basis. Costs must be incurred before payment is made. All costs charged to DRPT-assisted projects must be supported by properly executed payroll, time records, invoices, and contracts evidencing in detail the nature and propriety of the charges. Vouchers are not eligible for reimbursement under Other Capital. Additional backup documentation is required depending on the type of award.

Mobility Management

Mobility management grant budget requests shall not exceed two (2) employees' salaries, except in the case of local or regional one-call/one-click systems, which do not have a limit on the number of employees' salaries funded under the Section 5310 program. Employees funded under DRPT's mobility management program must primarily be responsible for understanding the community's mobility needs, planning and implementing coordinated transportation, trip planning (all travel modes), and transportation arrangements, including the development and operation of a local or regional one-call/one-click system to fill gaps in service for seniors and individuals with disabilities.

Marketing and advertisement of transportation and/or mobility management services may not exceed 10% of the total project cost less equipment or \$10,000, whichever is less. Marketing and advertisements must be directed toward the subrecipient's clients or client groups (specifically, seniors and individuals with disabilities) and must describe or promote the transportation services being offered. Eligible expenses include advertising, marketing, and promotional media; communication services (telephone service and postage); and printing and reproduction of marketing materials. Copies of any advertising, marketing, or promotional materials will be due to DRPT with reimbursement requests including the cost for these items.

Bus wraps and on-vehicle signage to promote services are considered to be an expense separate from marketing as described above and may be included as a "supply" cost in the line-item budget.

Other Capital, including Capital Costs of Contracting

Other capital projects such as contracting for transportation services, scheduling and trip planning software, and Intelligent Transportation Systems (ITS) must be identified under the Other Capital section of the grant application.

Other Capital Budget

Applicants requesting support for mobility management and other capital purchases, including contracted transportation services, must complete and attach a 12-month line-item budget using the template provided in the funding opportunity. The budget period is October 1 through September 30.

The Budget Excel file includes two tabs: “Budget” and “Fuel, Maint, Ins”:

- **Budget Tab:**
 - Using one row per item, list each item for which you are requesting funding and list the total amount requested in the appropriate column (Columns B through H).
 - Add more rows as needed to complete the spreadsheet.
 - For agencies requesting assistance with fuel, maintenance, or insurance, refer to the information regarding the “Fuel, Maint, Ins” tab, below.
 - For agencies requesting indirect/administrative assistance that have a Negotiated Indirect Cost Rate Agreement (NICRA), enter the NICRA percentage in G27. Agencies that do not have a NICRA may request up to the de minimis rate of 10% and should enter this amount in G27.
- **Fuel, Maint, Ins Tab:** Other Capital Projects are not eligible to apply for Fuel, Maintenance, or Insurance.

Please see Appendix I.C. for a sample line-item budget.

Budget Guidance

Ineligible Expenses

The following is a non-exhaustive list of ineligible expenses for all project types. Please direct any questions regarding specific expenses to the DRPT Human Services Transit Programs Manager and refer to [2 CFR 200: Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#).

Ineligible expenses include but are not limited to:

- Transit passes or vouchers for use on existing fixed-route or ADA complementary paratransit service
- Operating assistance for required ADA complementary paratransit service
- Rent, mortgage, or other office-space related fees or expenses (see indirect cost section)
- Furniture, artwork, and other non-functional items
- Food, including business or outreach lunches and alcoholic beverages
- Clothing, including promotional items, staff uniforms, and cleaning fees
- Membership dues
- Training, certification, or credentialing fees, including notary registration and renewal
- Promotional giveaways, including gift cards and recognition gifts
- Gas cards
- Gas taxes or fees
- Employee mileage in personal vehicles, rented vehicles, or costs associated with the operation of an agency vehicle available for personnel use
- DMV registration
- State inspection
- Local taxes, including property tax
- Late fees for any purpose
- Non-routine maintenance, including transmission replacement/rebuild and engine replacement/rebuild
- Maintenance on vehicles that were not purchased through the Section 5310 program
- Gas for vehicles that were not purchased through the Section 5310 program
- Expenses related to any DRPT application or grant management process, including but not limited to costs to place public notices
- Event fees or expenses, whether hosted or attended by a DRPT subrecipient
- Fundraising expenses
- Certain marketing/promotional expenses, including the cost of promotional items or gifts

Indirect Costs

Indirect costs are eligible for FTA Section 5310 funding but must meet specific requirements and be approved by DRPT for funding.

Applicants that intend to request support for indirect costs must provide a Negotiated Indirect Cost Rate Agreement (NICRA) from a federal agency or use the de minimis rate of 10% of modified total direct costs (MTDC) (2 CFR 200.68). MTDC for the purposes of these grants includes all direct salaries and wages, applicable fringe benefits, materials, and supplies, and up to the first \$25,000 of each sub award. Other expenses, such as travel and services, which are typically included in MTDC, are not eligible for reimbursement under this grant program because those direct expenses are not eligible under this grant program. Equipment and other capital expenses are not included in MTDC.

Applicants with a NICRA with the FTA or other agencies may submit the approval documents with their application for consideration. Applicants electing to seek the de minimis rate may request up to 10% of the application budget in indirect costs without providing a NICRA. Applicants requesting indirect support must explain in a budget narrative attachment what the costs will cover. If awarded support for indirect costs, the applicant cannot request reimbursement for any direct costs listed in the indirect cost plan. For example, if an applicant elects to request 10% of modified total direct costs to cover financial and administrative support, it may not request reimbursement for direct financial or administrative staff time.

Expenses that are solely eligible for indirect support include:

- Rent, mortgage, and expenses associated with office space, including depreciation, debt interest/service, and operations and maintenance expenses
- Utilities
- Administrative, clerical, and office maintenance and cleaning staff salaries and benefits
- Executive staff salaries

Procurement

All items purchased with or contracted for using grant funds must comply with all federal procurement requirements. Before any advertisement or solicitation to purchase an item, the subrecipient must submit procurement documents to DRPT for review and approval. All Federal Contract Clauses are required to be included on proposals, contracts, and purchase orders. DRPT has developed checklists for Micro, Small, and Large purchases that must be completed by the subrecipient prior to solicitation.

Independent Cost Estimate

In the grant application, applicants must attach an Independent Cost Estimate (ICE) for all procurements over \$10,000 using grant funds. The ICE will be used to determine the eligible project cost and is required for all procurements with grant funds regardless of cost.

Acceptable methods to obtain an ICE include:

- Publicly published price lists
- Recently invoiced prices
- Comparable purchases by other agencies
- Outreach/market surveys
- Third-party estimates

All ICEs must document the date of the estimate and name of person who developed it. A vendor that provides an estimate cannot be awarded the contract.

List of Required Attachments

The following documents are required for all applications. Project specific attachments are indicated below, as well as additional guidance for specific attachments.

- Articles of Incorporation/Charter for first-time applicants or in the case of revision since the time of the last application.
- IRS Letter of Exemption (501c3, etc.).
- Title VI plan dated within three years of the application due date.
 - If the Title VI plan is outdated, the applicant should include information about its update process and include the date on which the new plan will be implemented.
 - If the applicant is new and does not have a Title VI plan, it should include an attachment indicating the agency's agreement to establish a Title VI plan upon award; DRPT will provide a template for this purpose.
- Copy of public notice printed in area newspaper, dated no later than two weeks before the application deadline.
 - The public notice must be a true public notice printed in the legal section of an area newsletter; advertisements and columns are not acceptable.
- List of local transportation providers contacted, including all public, private, and human service agencies.
 - Letters of support from non-transportation providers may be included but are not considered as part of application scoring.
- One copy of the letter of notice to local transportation providers
- Response letters from human service or transportation agencies
- Copy of letter of notice to MPO for your proposed service area, dated no later than December 31, 2023 (small and large urbanized areas only)
 - If your service area crosses multiple urbanized areas, then a letter must be sent to every MPO in your service area.
- Quarterly Report for this application year with each applicable Work Plan filled out (Excel file; template provided)
- Completed Quarterly Report spreadsheet for the previous grant year (Excel file)

- Debarment check: A check of the organization's name on SAM.gov to demonstrate that the organization is not debarred; the check must contain the Unique Entity Identifier (UEI) and be unexpired.
- Letter(s) of commitment or MOU(s) if the proposed application requires partnership(s) or other arrangement(s) with another organization to succeed. These should be true commitment letters and not letters of support.

Capital – Vehicle Application Attachments

- Copy of vehicle insurance package
- Preventive Maintenance Plan and schedules

Operating and Other Capital Application Attachments

- Budget (Excel file; template provided)
- Independent cost estimates (if relevant to project)
- Job descriptions for any grant-supported position (optional)

Requirements to Apply

All Applicants

Title VI Plan

Subrecipients are required to develop and implement a Title VI program. Applicants with existing Title VI plans are required to submit a copy of the plan dated within the three years prior to the application deadline. This plan is required prior to grant execution. For assistance with developing a Title VI plan, please contact the Human Services Transit Programs Manager.

Public Notice

Applicants are required to develop and publish a public notice of intent to apply for an FTA Section 5310 grant. This notice must be placed in the public notice/legal section of a newspaper of general circulation in the applicant's service area and should appear for a duration of at least one day and be placed at least 14 days before the application submittal deadline. For the FY 2025 grant cycle, the public notice should be advertised by or on January 18, 2024. The notice must include relevant application information, including the grant name, vehicle quantity (if applicable), and funding amount (all Section 5310 grants), as detailed in the example below. The notice may not be placed as an advertisement or as a notice of public meeting without providing the details of the application and method of providing comment. A scanned or downloaded copy of your notice as printed in your local paper must be attached to the application.

Please see Appendix I.D. for a sample public notice.

Notification to Local Transit and Transportation Providers

Applicants are required to contact all local human service, private, and public transit providers in their service area to advise them of their intent to apply for a grant. The agencies contacted should include, at a minimum, every agency that attends the applicant's regional CHSM meeting and any other transportation providers that can be found through the [Transportation Finder on Virginia Navigator](#).

Applicants are expected to look for opportunities to work with these other agencies to share resources and offer mutual support. It is a priority of the FTA Section 5310 program to ensure that the greatest amount of productivity possible will be realized for seniors and people with disabilities through these awards. It is often possible for agencies to coordinate transportation services to eliminate duplication, or to share equipment and resources.

Applicants should submit one sample letter of notification forwarded to each type of transportation provider in their service area and a list of all private nonprofit, private, and public transportation providers contacted and informed of your intent to apply for FTA Section 5310 funds.

Any return letters received from the agencies contacted should be included as attachments with the application. **Letters of support should not be sent to DRPT; any letters received by DRPT will not be considered during the application review unless they are also attached to the application by the applicant.**

Please see Appendix I.E. for a sample notification letter.

Intergovernmental Review

Non-Urbanized Areas

Regional intergovernmental review of FTA Section 5310 projects in non-urbanized areas is not required, but applicants may choose to send a letter to their local Planning District Commission(s) to notify them of the proposed project and application.

Urbanized Areas

Applicants in the urbanized areas must notify their Metropolitan Planning Organization ([MPO](#)) of their intent to apply for FTA Section 5310 funds. Letters must be sent to the MPO no later than December 31, 2022. Applicants that do not send letters to the MPO or do not meet this deadline will not be eligible for funding.

As with the public notice, letters to the MPO must include the details of the grant program and application, including the amount sought.

FTA Section 5310 applicants must request that the proposed project be included in the annual element of the region's Transportation Improvement Program (TIP) after DRPT has recommended the project for approval. A TIP is a transportation plan that must be developed for each urbanized area as a condition of funding. The comprehensive planning process results in plans and programs that are consistent with the development of the urbanized areas. The Annual Element is a list of transportation improvement projects proposed for implementation during each transportation program year. Each urbanized area has its own annual elements.

MPOs may send a return letter to the applicant acknowledging receipt of the letter of intent to apply and stating that the project will be included in the TIP if funded. This is not a requirement of the MPOs, but something that may be done as a courtesy to the applicant to provide a letter to attach to the application.

Please see Appendix I.F. for a sample notification letter.

Performance Data and Quarterly Report

Monthly Ridership Reporting

Subrecipients that operate a transportation service or contract for rides are required to submit monthly ridership data for the Section 5310-funded portion of the service by the end of each month for the previous month's activity. Monthly ridership data is to be submitted via DRPT's online grant management system. If the applicant is a prior recipient of 5310 funding for transportation services, their monthly ridership data should be up to date for the prior year by the time the application is due (February 1).

Ridership is counted as Unlinked Passenger Trips (UPT). Passengers are counted each time they board vehicles no matter how many vehicles they use to travel from their origin to their destination.

Quarterly Report

All applicants must complete a Quarterly Report projecting their project performance throughout the grant period. Each project type has a defined set of metrics to track and report on throughout the year, called a Work Plan. Each project may develop additional metrics, as appropriate, to show the impact of the program.

The Quarterly Report Template (excel spreadsheet) and Guidance can be found as attachments in the online funding opportunity. The Guidance gives additional information about how to report on the metrics, as well as on whether the metrics are required or optional. Guidance can also be found in the Grant Management section of this document, under Chapter 5: Performance Reporting.

There are a total of four Work Plans: All Projects, Operating, Other Capital/Mobility Management, and Capital-Vehicle. The Work Plans are separated into tabs along the bottom of the spreadsheet. ALL applicants must fill out the relevant metrics in the All Projects Work Plan, as well as the Agency Profile (first tab). The other Work Plans are required based on the type of award applied for. For example, an agency applying for Operating support and a replacement vehicle would fill out three Work Plans in the Quarterly Report: All Projects Work Plan, Capital-Vehicle Work Plan, and Operating Work Plan.

Note:

- In a change from prior years' requirements, Capital-Vehicle projects will also be required to submit a Quarterly Report (i.e., if you only receive vehicles through 5310, you will now be required to submit performance metrics beyond the monthly ridership reporting requirement).
- "Eligible population" for 5310 is always defined as people with disabilities and/or people 65 years old or older.

- When reporting on all Capital-Vehicle related metrics, **you will report out data from 5310 vehicles ONLY.**

Please see Appendix I.G. for an example of the Quarterly Report.

Capital-Vehicle Applicants Only

Preventative Maintenance Plan

Subrecipients receiving capital vehicles or equipment must have a written maintenance plan for those vehicles and all related equipment. Elements of the plan must include the following:

- Standards for proper care and longevity for the vehicles, including defined intervals for preventative maintenance (such as oil changes at every 5,000-mile interval);
- Procedures to maintain project equipment at a high level of cleanliness, safety, and mechanical soundness;
- Procedures to maintain all accessibility features and equipment in good operating condition;
- Procedures to track when preventive maintenance inspections are due and to schedule preventive maintenance inspections in a timely manner (plans must specify mileage intervals for preventative maintenance);
- Procedures to maintain files that contains daily logs, inspection checklists, and repair records; and
- Procedures to maintain pre-trip inspection program that addresses vehicle condition, appearance and cleanliness, safety and ADA accessibility.

Preventive maintenance records will be inspected by DRPT to ensure proper maintenance and inspections are conducted when due.

Asset Data/TransAM

Subrecipients are required to record and maintain accurate asset inventory and data in DRPT's Transit Asset Management System ([TransAM](#)). When a subrecipient receives a vehicle that was purchased through a Section 5310 grant, the vehicle should be entered into TransAM within two business days. The required inspection paperwork must be completed and emailed back to DRPT's Human Services Transit Program Manager within two business days.

Only vehicles purchased with funding managed by DRPT (i.e., Section 5310 funding) can be recorded in TransAM. Section 5310 subrecipients cannot use this system to

manage vehicles that were purchased with other funds, even if they are projected to be replaced with Section 5310 funds. Any vehicles in the system that were purchased with other funds should be deleted. DRPT is seeking to maintain this system as a record of the vehicles for which it provides oversight.

The fleet of Section 5310 vehicles requires mileage, service status, and condition updates at least twice per year, by January 15 and July 15.

When an agency replaces a vehicle, the old vehicle should be marked as a spare or disposed in TransAM, as appropriate. A replacement vehicle should be a true replacement – not an expansion of the fleet.

For additional guidance on TransAM, please see Appendix III.C.

Capital-Vehicle Projects: Vehicle Menu

Applicants requesting vehicles under the 5310 program will select and customize vehicles available on the current state contract. All vehicles are required to be wheelchair accessible. DRPT's program does not support stretcher transport, and vehicles may not be customized to provide this type of transportation. The vendor will work with each grantee to customize the order, which will be verified and signed by the grantee then returned to DRPT.

Each grantee may customize each vehicle up to the budgeted award amount for that vehicle. Any amount over the budgeted award amount is the direct responsibility of the agency to the vendor. For example, if DRPT awards an agency \$75,000 for a minivan and the agency customizes the vehicle to cost \$80,000, then the agency will directly pay the vendor \$5,000. DRPT will collect \$15,000 based on the 20% local match required for a \$75,000 award and will supply the remaining \$60,000 from federal funds.

If an agency is awarded multiple vehicles, it cannot use any remaining balance from one vehicle award toward the cost of another vehicle. Each vehicle is treated as a separate award with a pre-determined maximum award amount.

Once all vehicle orders are received, DRPT will contact all grantees to provide the required 20% local match. Upon receipt of all local matches, DRPT will order the vehicles on behalf of the grantees. This section describes the vehicles that are currently available to 5310 grantees. Funds are not awarded for any other vehicle purchases, and grantees may not purchase vehicles themselves and request reimbursement through DRPT.

The vehicle types below are currently available through state contract to the Section 5310 applicants and subrecipients. These photos are meant to be representative and may not depict the actual vehicles available. Please refer to the current contracts in eVA for accurate make and model information.

Modified Minivan with Ramp (5 Passengers)



High Roof Van with Lift (9 Passengers)



Body on Chassis Vehicle with Lift (14-, 15-, and 19-passenger; can be customized to include more wheelchair tie downs and reduce overall passenger count)



General Grant Management Procedures

Chapter 1: Introduction

This document outlines procedures for recipients of grant funds under the FTA Section 5310 program administered by DRPT. **These procedures govern the administration of all active Section 5310 awards regardless of date of award.** These procedures are updated as needed and are reviewed at least annually to ensure they align with current practice, regulation, and requirement.

The procedures described in this document apply to various staff at agencies and organizations receiving Section 5310 funding from DRPT, including staff that is involved with grant agreements, invoicing, funding administration and tracking, capital asset inventory, financial compliance, and project/program implementation and management. Employees working in these functions should read this document and follow the procedures within.

Chapter 2: Development and Approval of the Six-Year Improvement Program (SYIP)

Each spring the Commonwealth Transportation Board (CTB) reviews a Draft Six Year Improvement Program (SYIP), a detailed programming document listing the proposed allocation of funding for DRPT and Virginia Department of Transportation (VDOT) programs and authorizes its release to the public for hearings. After considering comments received from the public, the CTB adopts a Final SYIP. By law, the CTB must adopt a SYIP by June 30. DRPT develops the transit portion of the SYIP based upon applications from potential recipients. The DRPT Director is a non-voting member of the CTB and serves as DRPT's liaison with the Secretary of Transportation and the CTB.

KEY STEPS

1. **Application Submission:** Applicants submit requests for funding using DRPT's online grants management system by 11:59 p.m. on the first business day in February.
2. **FTA Certifications and Assurances:** Applicants must self-certify that they are following these requirements and submit this as part of the grant application process by signing the FTA's certifications and assurances document and submitting it through DRPT's online grants management system. Contracts for federal funding will not be executed unless the FTA certifications and assurances are signed.
3. **DRPT Evaluates Applications**
4. **DRPT Prepares and Presents the Draft SYIP to CTB:** The Draft SYIP is typically presented to the CTB in late spring, typically on the third Tuesday of April or May.
5. **Public Hearings:** The CTB holds public hearings in the spring on the Draft SYIP. DRPT will post information about the meetings as they are scheduled.
6. **Amendments to the Draft SYIP:** The CTB takes into consideration public comments and may direct DRPT to make amendments to the Draft SYIP. Amendments to the draft can also be made to correct any line items that are not properly presented; contact the DRPT Human Services Transit Programs Manager to request corrections.

7. **Adoption of the Program:** The Final SYIP is typically adopted by the CTB in June. DRPT Program Managers notify recipients about the CTB action and the Final SYIP is posted on DRPT's website. If any requests for funding were included in the Draft SYIP but not included in the Final SYIP, DRPT will inform the grant applicant in writing.
8. Following CTB approval, the recipient may begin incurring expenses on the project at their own risk. Funding is occasionally reduced due to General Assembly, CTB, or federal actions. DRPT's participation in projects may be altered based on these changes. The spending for all projects must correspond with the executed contract start and end date. Any expenses incurred or activities provided outside of the contract period will not be eligible for reimbursement.

Chapter 3: Project Agreements

State Master Agreement

All subrecipients of FTA Section 5310 funding that receive state funding as part of the local match, as with the operating and non-vehicle capital awards, are required to execute a State Master Agreement for receipt of state funds. A standard agreement is used across all programs and is approved through an extensive internal process at DRPT and the Office of the Attorney General. Because language in the State Master Agreement is standardized, it cannot be changed. As with the project-specific agreements and FTA Certifications and Assurances, State Master Agreements **must be signed by someone with the authority to sign on behalf of the subrecipient organization.**

Project-Specific Agreements

DRPT is the direct recipient FTA Section 5310 program funds for rural and small urban areas, and the designated recipient for the large urban areas of Roanoke, Richmond, and Hampton Roads. These funds are then distributed to subrecipients throughout Virginia following a competitive, discretionary grant process using DRPT's online grant management system.

Following approval of the SYIP by the CTB, DRPT applies for funding to the FTA. Upon receipt of an executed FTA award number from the FTA, DRPT develops project agreements federal funds and state match. All Section 5310 projects begin on October 1 and end on September 30. DRPT will not request alterations to the contract periods or extensions of expired contract periods from the FTA except in extreme circumstances discussed in advance with the DRPT Human Services Transit Programs Manager.

Project agreements are subordinate to master agreements, and contractually specify the details of funded projects. Separate project agreements are executed for each project undertaken by a DRPT recipient. DRPT project agreements include a project agreement summary, the maximum state or federal share of eligible expenses, the project schedule, and the project budget which specifies the project description for which the budget may be spent. The start date of the project agreement for federal funding or state match to federal funding cannot precede the approval date of the FTA award.

The agreements are prepared by DRPT's Financial Programming staff and submitted to the DRPT Legal Counsel for review. Agreements are approved by the DRPT Program Manager, Division Administrator, and Finance Department, and are then

released to the grant recipient for execution in DRPT's online grant management system. Once the agreement is executed by the grant recipient, the DRPT Director or CFO will execute the agreement. The fully executed agreement is then available in electronic format and the project is open for reimbursement beginning on the date specified in the agreement. **The agreement must be signed only by grant recipient agency personnel with the authority to sign agreements and enter their agency into a binding agreement. DRPT will request proof of written authorization stating that the person executing the agreement has the authority to do so.**

Chapter 4: Project Reimbursements

DRPT provides Section 5310 funding for approved projects on a reimbursement basis, after recipients incur expenses. After the project agreement has been fully executed, recipients can begin to submit reimbursement requests through the online grant system. Every recipient of Section 5310 funds is required to submit one monthly reimbursement request per project. Requests may not be submitted less frequently than monthly unless no expenses were incurred for one month or more. DRPT will review requests for less frequent reimbursement submission on an individual basis. Please contact the DRPT Human Services Transit Program Manager for assistance.

The following is a high-level summary of what recipients must supply to DRPT when submitting a reimbursement request. Individual projects may have additional documentation requirements depending upon the nature of the service; this will be communicated to subrecipients as needed and appropriate. Recipients must be sure to include all the required information with their reimbursement request so that DRPT Program Managers are able to properly review the reimbursement request and consider approving for payment.

In all cases, expenditures must have been incurred and paid to be eligible for reimbursement. If the subrecipient cannot provide proof of payment for an expense, it cannot be reimbursed.

KEY STEPS

1. When submitting a DRPT reimbursement request, the recipient must ensure the amounts submitted are appropriately supported and are for authorized activities in accordance with the Master Agreement and Project Agreement.
2. Grant recipients should verify that the expenses submitted on the reimbursement request were incurred during the designated period of the project.
3. The reimbursement request as well as all supporting documents pertaining to the reimbursement request, and those requested by DRPT Human Services Transit Programs Manager during the review process, must be uploaded into the online grant management system by the grant recipient.
4. Section 5310 subrecipients receive an approved summary spreadsheet to be used for reimbursements throughout the duration of the grant. The entire spreadsheet, in Excel format, completed up to the date of reimbursement being requested, must be uploaded to the online grant management system with the reimbursement request.

5. Section 5310 Mobility Management and Operating subrecipients must also attach the completed Quarterly Report spreadsheet, in Excel format, to the reimbursement request on a quarterly basis (see more details in the Reporting section).
6. A copy of the general ledger or other financial summary document is required with each reimbursement request, and should include, at a minimum:
 - Date of paid invoice
 - Invoice number
 - Total amount of invoice
 - Amount charged to the reimbursement request
 - Name of vendor
 - Description of the expense
 - If applicable, explanation of why reimbursement of only part of the total expense is being requested
 - Expense category
 - Total amount charged
7. The total amount on the summary document must equal the total amount of the reimbursement request. If the amounts do not match, please provide an explanation of the discrepancy with the request documentation.
8. Supporting documentation for every expenditure included in the reimbursement is required to be submitted with the request and the amounts on the documentation must match or be less than the amount requested for reimbursement. If the backup documentation is extensive, please number the pages and indicate on the summary sheet which page corresponds with each amount.

Reimbursement Summary Sheet

All Section 5310 reimbursement requests must be accompanied by a summary spreadsheet developed using the DRPT-provided template.

Once funding has been approved for your project, you will receive an approved budget via the Project Agreement and a reimbursement template from DRPT. You should use the approved budget to fill in the “Total Budget” and “Fuel, Maint, Ins” (if applicable) tabs of the reimbursement template spreadsheet. The budget line items will automatically populate to the monthly tabs.

On a monthly basis, complete the expenditures portion of the appropriate monthly tab, Columns B-H, Cells 2-17. The “Spending Overview” tab will automatically update on a monthly basis.

If fares, donations, or other revenue was collected to offset the cost of rides, input the amount collected in Cell I32 so that it will be deducted from the reimbursement request.

After filling in the appropriate month’s tab, Cell I34 will display the amount to input to the online grant management system for reimbursement. This amount may not align with your monthly revenue and expenditure report, which is acceptable. However, you must submit all backup documentation to support the direct expenditures; backup documentation for indirect costs at the approved rate is not required.

Monthly tabs in which a performance report is due with the reimbursement request are highlighted red.

The entire Excel spreadsheet should be uploaded to the reimbursement request. Please do not upload a PDF, single page, or any other altered version of the spreadsheet. Only reimbursement requests with the full Excel file will be processed; all other requests will be held until the spreadsheet is available

Please see the Appendix for an example of a completed month’s reimbursement spreadsheet.

Supporting Documentation

All reimbursement requests must include legible supporting documentation that details the expenses charged to the project and proof that those expenses are germane to the project. Sufficient supporting documentation attached to reimbursement requests is required to provide evidence and justification for every expense. Support documents provide DRPT staff and external auditors with assurance that expenses paid are in accordance with the terms of the Master Agreement and the Project Agreement.

The following is a summary list of documents that should be provided with a reimbursement request. The summary list does not include every document that must be provided with a reimbursement request, as some support documentation is specific to the program or project.

- **Payroll:** copies of paystubs or other pay information matching the request
 - Timesheets are required for any position supported in part by a Section 5310 grant – these should indicate the number of hours spent working on Section 5310 activities.

- **Gas:** individual receipts or billing statements from gas cards (tax on gas is not reimbursable and must be deducted from the request; gas for non-Section 5310 vehicles is not eligible for reimbursement)
- **Maintenance:** receipts or invoices showing the VIN and work performed along with the date and total of the expenses (maintenance on non-Section 5310 vehicles is not eligible for reimbursement)
- **Insurance:** copy of insurance policy and bill showing which vehicles are supported with the expense (insurance on non-Section 5310 vehicles is not eligible for reimbursement)
- **Paid invoices or receipts**
- **Copies of promotional items and marketing materials** (e.g. print, radio, TV, online social media advertisements, fliers, and any other marketing items with an associated expense)
- **Trip Sheets:** all operating or contracted capital grant reimbursements must include a trip sheet for all rides provided during the reimbursement period. The trip sheet should include, at a minimum, the date of service, originating address, destination address, trip provider name/business, and cost. Names are not required, and initials can be provided, if needed.

Receipts and invoices must clearly state what was purchased or what the items are. Recipients may need to write a short description on the receipt or invoice to indicate what the item is, the purpose of the item, and how it was used. Just because an item was purchased for program purposes does not mean that it is eligible for reimbursement. Items outside of the approved budget should be discussed with the DRPT Human Services Transit Programs Manager prior to submitting a request for reimbursement.

Supporting documentation must be from an official source such as a receipt or a third-party invoice. The general ledger or financial system report is not sufficient to support an expenditure. Questions about supporting documentation should be forwarded to the DRPT Human Services Transit Programs Manager prior to submittal of a reimbursement request.

Reimbursement Request Timeline

Reimbursement requests can only be submitted **after** the project agreement has been fully executed by all parties and the contract period has begun. Requests submitted prior to both occurring will not be eligible for reimbursement. All expenses incurred outside of the contract period will not be eligible for reimbursement.

All reimbursement request for the Section 5310 program must be submitted monthly, and no more than one request may be submitted each month for each project. If a program incurs no expenses in a month, a reimbursement request is not required. However, a program may not hold requests for multiple months to request them in a block, such as on a quarterly basis. If expenses are incurred in a month, then they should be requested for reimbursement no later than the last business day of the following month.

Expenses requested for reimbursement more than 30 days after the end of the month in which they were incurred may be rejected.

DRPT will make every effort to review and remit payment within 30 days from submission of the reimbursement. All reimbursement requests are reviewed by DRPT Finance staff as well as the Human Services Transit Programs Manager. Approvals may take longer if the proper support documentation is not included with the original reimbursement request. Additionally, it may take five to ten business days from the time request is approved until the grant recipient receives payment.

All subrecipients will receive paper checks by mail unless the subrecipient completes the registration process for the [Electronic Data Interchange Program](#) through the Virginia Department of Accounts. This enrollment will enable the subrecipient to receive electronic payments through the Automated Clearing House network.

Chapter 5: Performance Reporting

All subrecipients must take part in performance reporting. Quarterly Reports are now required for all subrecipients, regardless of award type.

Monthly Ridership Reporting

Subrecipients that operate a transportation service or contract for rides are required to submit monthly ridership data for the Section 5310-funded portion of the service by the end of each month for the previous month's activity. Monthly ridership data is to be submitted via DRPT's online grant management system.

Ridership is counted as Unlinked Passenger Trips (UPT). Passengers are counted each time they board vehicles no matter how many vehicles they use to travel from their origin to their destination.

Quarterly Report

All awarded grantees must complete a Quarterly Report that reflects the funded project activities for the project period. Each project will receive a defined set of metrics to track (Work Plan) and report on throughout the year. Each project may develop additional metrics, as appropriate, to show the impact of the program.

There are a total of four Work Plans: All Projects, Operating, Other Capital/Mobility Management, and Capital-Vehicle. The Work Plans are separated into tabs along the bottom of the spreadsheet. ALL applicants must have filled out the relevant metrics in the All Projects Work Plan, as well as the Agency Profile (first tab) as part of their application. The other Work Plans are required based on the type of project awarded. For example, an agency that applied for Operating support and a replacement vehicle, but was only awarded operating support, would fill out two Work Plans in the Quarterly Report: All Projects Work Plan and Operating Work Plan.

Submission Schedule

Work Plans are to be submitted each quarter (four times per year) following the schedule below:

- **January:** October through December data due
- **April:** January through March data due
- **July:** April through June data due
- **October (final):** July through September data due

How to Submit

All subrecipients must use the Quarterly Report spreadsheet (excel) they filled out as part of their application, demonstrating how the actual data align with the performance projections. The Quarterly Report in its entirety must be submitted, in excel format.

For reimbursement-based projects – such as Operating and Mobility Management – the quarterly report is due as an attachment to the reimbursement request submitted for that month. For recipients that do not submit for reimbursement, please email the quarterly report to the DRPT Program Manager by the end of each month it is due.

Note:

- In a change from prior years' requirements, Capital-Vehicle projects will also be required to submit Work Plans (i.e., if you only receive vehicles through 5310, you will now be required to submit performance metrics beyond the monthly ridership reporting requirement).
- "Eligible population" for 5310 is always defined as people with disabilities and/or people 65 years old or older.
- When reporting on all Capital-Vehicle related metrics, **you will report out data from 5310 vehicles ONLY.**

Quarterly Report Metrics Guidance

ALL PROJECTS WORK PLAN

All Projects Performance Metrics Activity Description	Indicator	Instructions	Requirement Status
<p>Provide transportation (or transportation services) to the eligible population</p>	<p>Number of adults 65 or older and/or people with disabilities who receive a ride/service</p>	<p>Report the total number of clients who receive services.</p> <p>You may choose the eligible population that is most relevant to your provision of service (you do not need to provide numbers for both populations).</p>	<p>Required</p>

<p>Solicit feedback on services</p>	<p>Conduct one annual rider survey</p>	<p>Report the number of clients surveyed.</p>	<p>Optional (but recommended)</p> <p>Required* *for Operating (see below)</p>
<p>Promote transportation services</p>	<p>Advertise availability of services on website</p>	<p>Indicate whether transportation services are advertised on your website. Note any changes, such as website outages or technology improvements, that would affect clients' ability to access transportation through your website.</p>	<p>Optional* *for CSBs</p> <p>Required* *for all public services and Operating (see below)</p>
<p>Capture unique needs and success information</p>	<p>Report on unique needs, challenges, and/or successes</p>	<p>Grantee may choose what to report on but can indicate any circumstances or events that arise during the award period that are relevant to the project execution, unique needs in the community that come to the grantee's attention, or successes of program.</p>	<p>Optional</p> <p>Required* *for Operating (see below)</p>

OPERATING WORK PLAN

Operating Performance Metrics Activity Description	Indicator	Instructions	Requirement Status
Provide rides	Number of rides requested	Number of rides requested by eligible population.	Required
Provide rides	Number of rides scheduled	Number of rides scheduled for the eligible population by provider.	Optional
Provide rides	Number of rides provided (unlinked passenger trips)	Number of rides provided for eligible population. Unlinked passenger trip = each time a passenger boards a vehicle.	Required
Provide services	Number of hours transportation services were available	Total number of hours transportation services were available to the eligible population.	Required
Solicit feedback on services	Conduct one annual rider survey	Report the number of clients surveyed.	Required
Promote transportation services	Advertise availability of services on website	Indicate whether transportation services are advertised on your website. Note any changes, such as website outages or technology improvements, that would affect clients' ability to access transportation through your website.	Required
Capture unique needs and success information	Report on unique needs, challenges, and/or successes	Grantee may choose what to report on but can indicate any circumstances or events that arise during the award period that are relevant to the project execution, unique needs in the community that come to the grantee's attention, or successes of program.	Required

OTHER CAPITAL/MOBILITY MANAGEMENT WORK PLAN

Other Capital (includes Mobility Management and Contracted Services) Performance Metrics Activity Description	Indicator	Instructions	Requirement Status
Provide transportation information	Number of received calls for transportation information / rides	Report the total number of calls received by the agency, including calls that resulted in no action.	Optional
Provide transportation information	Number of completed calls for transportation information / rides	Report the number of completed calls, i.e., calls that resulted in information being shared or a ride being scheduled.	Optional
Connect riders with transportation services	Number of rides directly provided / coordinated	Report the number of rides that the agency directly provided or coordinated for clients.	Required
Connect riders with transportation services	Number of referrals to other transportation providers	Report the number of referrals to other transportation providers.	Required
Provide travel training	Number of people in the eligible population who received travel training	Report the number of people in the eligible population who received travel training.	Required* *if applicable to the program (i.e., if your agency provides travel training)
Provide travel training	Number of other people who received travel training	Report the number of other people who received travel training.	Required* *if applicable to the program
Promote services	Metric to be determined by the program based on current services.	Report on the relevant promotions for the program. Can be the same metric as in the All Projects Work Plan.	Required
Create community partnerships	Establish or maintain community partnerships	Describe meaningful engagements with community partners, either existing or in development.	Required

CAPITAL – VEHICLE WORK PLAN

Capital - Vehicle Performance Metrics Activity Description	Indicator	Instructions	Requirement Status
Provide rides	Number of rides requested	Number of rides requested by eligible population.	Optional
Provide rides	Number of rides scheduled	Number of rides scheduled for the eligible population by provider.	Optional
Provide rides	Number of rides provided (unlinked passenger trips)	Number of rides provided for eligible population. Unlinked passenger trip = each time a passenger boards a vehicle.	Required
Use accessibility equipment	Lift count	1 lift = one complete cycle per person. A cycle being one person rides the lift up to get into the vehicle and then down to get off the vehicle.	Required
Use accessibility equipment	Number of passengers using mobility devices	Report the total number of clients who use a mobility device, such as a wheelchair, that receive services.	Required

Chapter 6: Project Time Extension Requests

All Section 5310 grants are provided for a one-year demonstration period beginning on October 1 and ending the following September 30. Per the FTA, project extensions cannot be considered for operating or non-vehicle capital projects.

If your project is not progressing as planned, please discuss this with the DRPT Human Services Transit Programs Manager to attempt to find a resolution and path forward. In general, requests submitted at the end of the demonstration period with no previous indication of an issue with meeting the contracted end date will not be eligible.

If an extension request has been discussed with the DRPT Human Services Transit Programs Manager and is approved for submission, then the grant recipient must submit a project extension request at least 30 days prior to the project's end date. DRPT can allow only one extension per project for a maximum period of up to 12 months from the original project end date. The DRPT Human Services Transit Programs Manager will review the extension request, with a greater number of DRPT internal approvals required if any of the following are true:

- Balance remaining of \$1 million or more of state-controlled funds
- Recipient made the request after the end date of the project had passed
- The extension request exceeds 12 months
- The grant has already been previously extended

Key determining factors in the approval of requests are the reasons provided by the recipient on why the project cannot be completed on time and the recipient's plan for completing the project in a timely manner. Approval of a time extension is not guaranteed.

Scope of work changes will not be considered as part of a request for a time extension.

Chapter 7: Project Budget and Scope Changes

A grant recipient may sometimes wish to change the scope of a project after it has been awarded. Budgets may not be increased after they are awarded, but Section 5310 Operating and Other Capital programs may request changes to individual line items without a change in the total approved budget. All changes being considered must be discussed with the DRPT Human Services Transit Programs Manager before any changes may be enacted.

In order to maximize transparency and openness in DRPT's award process, it is vital that all projects be evaluated equally, that the SYIP be discussed in a public forum, as is legally required, and that the SYIP is approved as a whole whenever possible. In the majority of the cases where a scope change is being requested, DRPT will require the grant recipient to deobligate the fund balances and submit an application for the change requested (i.e. a new project) during the following grant cycle. If the recipient can justify why waiting until the next grant cycle is not practical, DRPT may consider approving the request off-cycle.

DRPT does not permit funds to be reprogrammed between different projects. Extra funding will be deobligated and will be incorporated in the pool of available funding for the next grant cycle.

Please note that verbal authorization for moving funds is not considered valid. During any compliance review, written authorization for such changes will be required.

KEY STEPS

1. To request a minor line-item budget change that does not affect the total award amount and that does not fundamentally alter the nature of the project, contact the DRPT Human Services Transit Programs Manager. The Transit Programs Manager will request documentation to support such a change, but the change can never be made without prior approval.
2. **Submit Request to Change Form:** For a more significant budget change or a scope change (i.e., a change to the nature of the project), please contact the DRPT Human Services Transit Programs Manager for a Request to Change SYIP Allocation form. The form must be signed by an authorized signing agent of the recipient's agency and include a detailed justification with milestones and dates for the request. The program manager will review the request before forwarding it to the DRPT Executive Team, if required.

3. **DRPT Reviews Request:** DRPT will evaluate the request and communicate the decision to the requestor within 40 business days. If the request is approved, the grant recipient will receive new grant documentation to reflect the approved funding situation.
4. **Process for Denial of Request:** If the request is denied, the requestor will be encouraged to apply for the requested funding during the next grant cycle and the current funding in question will be deobligated.

Chapter 8: Title VI and Americans with Disabilities Act

As a designated recipient of Federal Transit Administration (FTA) funds, DRPT receives, administers, and allocates funds to subrecipients and is responsible for documenting compliance with Title VI of the Civil Rights Act of 1964 and the Americans with Disabilities Act (ADA).

Every Section 5310 subrecipient is required to develop and implement Title VI and ADA policies and procedures. Subrecipients must not discriminate on providing services based on race, color, national origin, or disability. Each subrecipient must have a process for the public to submit complaints pursuant to these two policies and must post accessible information on its website about both of these policies.

DRPT will check annually for compliance with these requirements and provides this guidance to help subrecipients understand the seven website requirements.

The following areas are examined annually on each subrecipient website to determine compliance with Title VI and the ADA:

- Title VI Notice
- Title VI Complaint Form
- Title VI Complaint Procedures
- Full Title VI Plan (signed by authorized official and board)
- ADA Notice with Reasonable Modification Statement
- ADA Complaint Form
- ADA Complaint Procedures

Additionally, the Title VI Notice and ADA Notice with Reasonable Modification Statement must be posted in common areas in each subrecipient agency, including in entry areas, conference and meeting rooms, notice boards, and in vehicles (if operated). Each agency that provides transportation service of any type should post Title VI and ADA notices in vehicles and keep a binder containing all Title VI and ADA information in the vehicle, including complaint forms.

Please see Appendix II.A. – II.F. for examples of each document, except the Title VI Plan.

Developing a Title VI Plan or ADA Policy

New subrecipients that do not have a Title VI plan or ADA policy in place, or agencies that need to update either policy (Title VI is required to be updated every three years), should contact the DRPT Civil Rights Officer to request a template or other assistance.

Chapter 9: Project Oversight and Compliance

DRPT conducts ongoing compliance reviews of all Section 5310 subrecipients to ensure state and federal rules and regulations are being met. Compliance review processes involve annual and triennial reviews, with the triennial process being the most comprehensive. Compliance reviews include:

- Annual Site Visits
- Annual Website Reviews for Title VI and ADA
- Annual Financial Compliance Reviews
- Triennial Compliance Reviews

Annual Site Visit

Site visits may be conducted at any time throughout the year, and at least one site visit is required per every three years. These are typically informal meetings that allow the program manager to learn more about an individual program and subrecipient and are sometimes used to clarify information included in an application package. These are scheduled in coordination with the subrecipient based upon a mutually available date.

Annual Website Review

Title VI and ADA

DRPT conducts annual reviews of subrecipient websites for compliance with the Title VI and ADA requirements described in Chapter 8: Title VI and Americans with Disabilities Act. These reviews are typically conducted in January but may occur at any time throughout the year. Subrecipients will not necessarily be notified of when the review is happening and will only be contacted if deficiencies are found.

When conducting the website reviews, DRPT uses a standardized form (below) to find and track any deficiencies. If a subrecipient is scheduled for a compliance review

within the calendar year, then the website deficiencies are recorded as a finding and addressed at the time of the compliance review. If the subrecipient is not scheduled for a compliance review within the calendar year, then the deficiencies are addressed immediately following the review period. Subrecipients will have 30 days to come into compliance.

Annual Website Review Form

Subrecipient Name:

Website:

Review the subrecipient website for compliance with Title VI and ADA policies and procedures.

Question	Yes/No; Comment
1. Is the Title VI Plan posted on the website?	
a. Is the Title VI Plan easy to find? (Less than 2-3 clicks to access)	
b. Is the Title VI Plan current (Covers at least the current full year)	
c. Is the Title VI Plan signed by an authorizing official of the subrecipient organization?	
2. Is the Title VI notice posted on the website?	
a. Is the Title VI notice easy to find? (Less than 2-3 clicks to access)	
b. Does the Title VI notice name a point of contact and give contact information?	
3. Is the Title VI Complaint Form posted on the website?	
4. Is the ADA Notice posted on the website?	
a. Is the ADA Notice easy to find? (Less than 2-3 clicks to access)	
b. Does the ADA Notice name a point of contact and give contact information?	
5. Is the ADA Complaint Form posted on the website?	

Service Information

DRPT expects all subrecipients to make the public aware of Section 5310-funded services through their websites and other marketing materials, as appropriate. DRPT will check each subrecipient website to ensure that basic information about the service is provided, including hours of operation, eligibility for services, the amount of any fee or fare, and that accessible transportation is available. Mobility management

services should be described, as appropriate, and include information about hours of operation, eligibility, and any other necessary information about the service.

Annual Financial Compliance Review

Desk Audit

The DRPT Human Services Transit Programs Manager conducts desk audits of past reimbursements on an ongoing basis to provide financial technical assistance and ensure that DRPT and FTA program requirements, as documented in the Master Agreement and specific Project Agreements, are being met. During the reviews, the program manager will determine whether expenditures requested for reimbursement were eligible, germane to the project, not submitted in duplicate, and that the expenditures occurred within the project period.

If the program manager identifies an issue with one or more reimbursement requests, they will consult with DRPT's Director of Statewide Transit Programs, Controller, and other financial staff. If the group determines that reimbursements were issued on expenses that were ineligible for any reason, the DRPT Human Services Transit Programs Manager will remit a letter to the subrecipient requesting repayment within 30 business days. During this time, no additional reimbursement requests from the subrecipient will be processed.

Once the ineligible funding is repaid, DRPT will resume processing reimbursement request for the agency. Any amount that is repaid to DRPT due to ineligibility will not be reimbursed in any subsequent project years.

Submission of Audited Financial Statements

On an annual basis, subrecipients may be asked to submit their audited financial statements to the DRPT staff by email. This is usually requested in conjunction with a Financial Compliance Review, described below.

Financial Compliance Review

On a periodic basis, DRPT conducts financial compliance reviews of recipients to provide financial technical assistance and to ensure that DRPT program requirements, as documented in the Master Agreement and specific Project Agreements, are being met. Recipients that have had significant compliance issues in past compliance reviews will be subject to more frequent reviews.

KEY STEPS

1. **Notification of Selection:** Several recipients are selected for compliance reviews on a quarterly basis. Selected recipients are notified approximately

- six weeks ahead of time, informed of the documentation to have available for review, and provided the option to contact the DRPT Audit Manager or consulting firm with any questions.
2. **Consultation with Program Manager:** The DRPT Audit Manager consults with the DRPT Human Services Transit Programs Manager to determine whether there are any issues that should be considered during the compliance review.
 3. **Desk Review:** The DRPT Audit Manager or consulting firm will review all supporting documentation provided by the recipient related to the reimbursement requests selected as part of the sample for the upcoming compliance review to ensure that the recipient is conducting the grant-funded projects in compliance with the applicable agreements.
 4. **On-Site Review:** After the desk review is completed, the DRPT Audit Manager or consulting firm will contact the recipient with any questions they may have. They will also set up the dates for the on-site portion of the compliance review process at this time.
 5. **Identification of Issues:** If issues are identified, the DRPT Audit Manager or consulting firm will discuss them with the recipient and offer the opportunity to provide more documentation in hopes of resolving the potential issue.
 6. **Documentation of Findings:** Each finding is documented on a standard form, which is called an Audit Issue Fact Sheet, which summarizes the project and the issues to be addressed. Recipients sign off on the finding, indicating that the finding was discussed with them. Signing this form does not indicate that the recipient agrees with the finding. The documented findings are summarized in a compliance review report.
 7. **Review of Report:** A Draft DRPT Compliance Review Report will be created and sent to the recipient for their review. If a corrective action plan (CAP) is required, the recipient will be required to submit the CAP to DRPT. The compliance review report is then updated by the DRPT Audit Manager to include the CAP if needed. The Compliance Review Report is then submitted to DRPT management for review.
 8. **Approval and Transmittal of Report:** After the Chief Financial Officer signs off on the final report, the DRPT Audit Manager will send it to the recipient with the CAP included as Appendix B.

Triennial Compliance Review

Purpose

DRPT is required by the FTA to perform compliance, technical capacity, and management proficiency reviews of its FTA Section 5310 program subrecipients. The reviews will be conducted virtually with the possibility of an additional on-site or virtual review following a desk review.

The reviews are designed to ensure that subrecipients can manage the FTA-funded programs in accordance with the grant application, the grant agreement, the FTA-approved State Management Plan, and all applicable laws and regulations using sound management practices. The review is intended to look behind the signed certifications and assurances submitted by subrecipients to ensure that subrecipients are adhering to all statutory and program requirements when expending federal and/or state funds on local projects.

Review Process and Focus Areas

Triennial compliance reviews are in-depth program management reviews requiring prior completion of a workbook and associated documentation, which is reviewed prior to an on-site visit. Compliance review dates are assigned by DRPT at least 30 days in advance, and grantees are notified of their compliance review date by emailed letter on DRPT letterhead. The letter will also include instructions on how to complete the workbook (provided as an attachment) and where to send completed documentation. Compliance review dates may only be rescheduled in the event of serious conflict.

During an on-site visit for the compliance review, areas of concern are discussed in depth, program files are reviewed, and the vehicles and required postings are inspected. Upon conclusion of the review, DRPT will remit a summary report identifying all areas of concern (findings) and providing a 30-day remediation period to the subrecipient. After the subrecipient submits or completes all required remediation documentation or actions, DRPT will issue a final report closing the compliance review. Grantees who have significant findings during the compliance review and who have any findings related to preventative maintenance will have stricter ongoing oversight and reporting requirements than are outlined in this guidance document. Those requirements will be explained on a case-by-case basis depending upon the outcome of the individual review.

DRPT considers the results of compliance reviews when making funding recommendations and may result in additional reporting requirements based on identified deficiencies.

The review will primarily be used to:

- Assess the technical capacity of subrecipients to receive and manage federal and state funds.
- Assess the technical capacity of subrecipients to successfully adhere to governmental requirements for grant and program administration, including but not limited to property and financial management, training needs, security readiness and civil rights requirements.
- Clarify federal/state regulatory requirements.
- Improve the management efficiency and effectiveness of federal/state funded transportation programs.
- Identify areas where training and technical assistance may be warranted.

Review Schedule

DRPT uses a standardized compliance workbook that contains a questionnaire to be completed by the subrecipient and a list of information and materials to be submitted to facilitate a pre-site visit desk review. The overall compliance review process involves the following steps:

- **Announce Compliance Review** — DRPT will email the subrecipient a letter stating that a compliance review of the organization will occur. The letter will provide the date of the virtual review and will accompany this workbook. The subrecipient will be given a date by which to email all requested documents and the completed workbook to DRPT, which will typically occur no less than three weeks prior to the virtual review date.
- **Conduct the Desk Review and Prepare for Virtual Review** — DRPT will conduct desk reviews of the documentation that subrecipients have provided to generate questions and discussion points for the virtual/on-site review.
- **Conduct Virtual or On-Site Review** — The initial virtual review will be scheduled for one and a half hours and will focus solely on areas of interest or concern. Areas where the agency is at least meeting expectations will not be addressed during the virtual or on-site review but will be noted in the review report. The review will include:
 - Entrance Conference with the Section 5310 Manager
 - Review of areas of interest or concern
 - Resolving remaining questions or arranging to resolve questions at a later time

- Announcing whether an additional review date or on-site visit will be scheduled
- Exit Interview and draft report
- **Corrective Action Plans** — Subrecipients will receive a draft report and be given 30 days to correct deficiencies and to submit to DRPT a corrective action plan that verifies actions taken or anticipated.
- **Final Report** — A final report matrix will be prepared that includes the findings from the draft report, corrective actions taken by the subrecipient, and any pending issues that need DRPT follow-up.

The current version of the “Specialized Transportation Compliance Review for Federal Transit Administration Section 5310: Enhanced Mobility of Seniors and Individuals with Disabilities Programs” can be obtained by emailing the DRPT Transit Programs Manager administering the Section 5310 program.

Chapter 10: Grant Close-Out

When a project is complete the project must be closed-out by recipients in DRPT's online grant management system through either a final reimbursement request or a deobligation request. All projects must be deobligated when the project is complete, regardless of whether there is a remaining balance. Subrecipients must also submit their final Quarterly Report (Q4) as part of their final reimbursement request. Once DRPT closes out the project in its accounting system, no further reimbursement requests will be processed.

Capital – Vehicle Grant Management

All Capital-Vehicle grantees must follow the guidance in this section in addition to the General Grant Management Procedures

Asset Inventory: TransAM

DRPT requires all Section 5310 subrecipients receiving capital assistance to enter their asset inventory information in [TransAM](#), DRPT's online transportation asset management system. This information is used to verify recipients' capital assistance applications against the reported asset inventory needs and conditions and for determining asset replacement needs for the future.

New subrecipients should email the DRPT Human Services Transit Program Manager to request a TransAM account.

All vehicles purchased with Section 5310 funds must be logged in TransAM. Agencies should not enter vehicles, equipment, facilities, or other items that were not purchased with Section 5310 funds. This system is a state asset management system for tracking only those items for which DRPT is in some way responsible.

Updates to the Asset Inventory, including updated condition assessments, service status, and odometer readings must be entered into TransAM by July 15 and January 15 of each year.

For additional guidance on TransAM, including step-by-step instructions, please see Appendix III.C.

Disposal of Vehicles

Providers must use Section 5310 vehicles for approved project purposes for as long as the vehicles are owned by the subrecipient agency

Once vehicles have reached their useful life (four years **and** 100,000 miles), agencies may choose to dispose of the vehicles by sale, donation, or other means. Subrecipients that apply for replacement vehicles for Section 5310-funded vehicles are required to remove the vehicle to be replaced from regular service and may only use the vehicle as a back-up or spare for intermittent program use. These vehicles may not be used to provide other service or for any other purpose than was described in the original application that led to their award.

DRPT is responsible to the federal government for the appropriate usage and disposition of this equipment, so DRPT maintains the title on all Section 5310 vehicles for as long as they are owned and operated by the subrecipient. Only upon planned disposition of a vehicle may an agency request the release of a title and lien from DRPT. Liens will not be released on vehicles that will continue to be used by the agency.

When a subrecipient plans to dispose of a vehicle, the subrecipient should send a written request for approval to dispose of the vehicle to the DRPT Human Services Transit Programs Manager listing the VIN, year, make, and model, in-service date, and current mileage.

If new applications are not immediately anticipated, the recipient must inform the appropriate DRPT contact of the disposition within a reasonable amount of time. Otherwise, the subsequent capital application should contain information that the gross project cost has been reduced with proceeds from earlier capital disposition. DRPT will notify FTA as appropriate.

The subrecipient must update TransAM by recording the disposition, final mileage, sales price, and date. The subrecipient must also register the sale with the DMV. This can be completed online and it protects both the subrecipient and DRPT in case the vehicle purchaser does not complete the registration of the vehicle in their name.

Disposition of equipment before the end of useful life requires DRPT approval prior to the disposition; DRPT will then notify FTA. If a subrecipient no longer needs the vehicle for the purpose for which it was acquired and requests a title for a vehicle that is not past its useful life, DRPT will seek to have the vehicle transferred to another eligible subrecipient. The original subrecipient will be reimbursed for local interest of the fair market value of the vehicle by the new subrecipient. If DRPT cannot find an eligible subrecipient for the vehicle and DRPT and FTA approve the sale of the vehicle by the

original subrecipient, the federal interest of the proceeds of the vehicle sale must be returned to DRPT.

Vehicle Titling

Upon approval, the title will be released in one of two ways, depending upon the original title date:

- Titles dated prior to June 2021, with few exceptions, will be provided as a lien release letter and paper title, if available, by DRPT.
- If the title is unavailable, the subrecipient will need to request a duplicate title from DMV; in no event will DRPT request a duplicate or replacement title or pay any titling fees.

Upon receipt of the lien release letter and title, if available, the subrecipient is required to obtain a clear title from the DMV prior to selling or transferring the vehicle.

All tasks and fees relating to titling are the sole responsibility of the subrecipient agency.

Titles dated after June 2021, with few exceptions, will be released through DRPT's electronic lien system and a clear title will be directly mailed to the subrecipient by DMV. In this scenario, no further action regarding the title is required before the vehicle is disposed.

Vehicle Disposition Report and Return of Proceeds

Once the subrecipient disposes of the vehicle, it is required to report the sale to the DRPT Human Services Transit Program Manager. A return of proceeds form will be required, along with a bill of sale displaying the vehicle sales price.

The Infrastructure Investment and Jobs Act (IIJA) changed the provisions for transit asset disposition [49 USC § 5334(h)(4)(B)]. Vehicles that were purchased with Section 5310 funds, have a fair market value of \$5,000 or more, and are sold after November 15, 2021, are subject to the new provisions. The IIJA specifies that subrecipients may retain \$5,000 plus the applicable local share of the project based on the original project agreement. For general Section 5310 awards, the local share is 20%. However, vehicles awarded in FY21 and later may have a lower local match that would be retained by the subrecipient. Any additional amount is required to be returned to the FTA through DRPT.

No return of proceeds is required for vehicles sold for \$5,000 or less. However, the sale must still be reported to DRPT.

If proceeds are required to be returned, then the subrecipient will complete the return of proceeds process and will receive a request for repayment from DRPT.

Policies and Procedures

Service Animal Policy

Every Section 5310 vehicle subrecipient must enact a service animal policy to allow service animals on board federally funded vehicles. The service animal policy must follow the current Federal Transit Administration Americans with Disabilities Act (ADA) Guidance, [Circular FTA C 4710.1](#).

To determine whether an animal is a service animal, as opposed to a comfort, emotional support, or therapy animal, you may ask two questions: (1) if the animal is a service animal required because of a disability and (2) what work or task the animal has been trained to perform.

Drug-free Workplace and Drug and Alcohol Testing

All recipients of Section 5310 funding are required under 49 CFR part 32 to maintain a drug-free workplace for all employees and to have an anti-drug policy, awareness program, and training program, as applicable.

Subrecipients that only receive Section 5310 funding are not subject to FTA's Drug and Alcohol testing rules but must comply with the Federal Motor Carrier Safety Administration (FMCSA) rule for employees who hold commercial driver's licenses (CDL), 49 CFR part 382.

Section 5310 subrecipients that also receive funding under one of the covered FTA programs (Section 5307, 5309, or 5311) should include employees funded under Section 5310 projects in their testing program.

If your organization employs CDL drivers for Section 5310 service, please contact your DRPT program manager for additional guidance.

Driver Training Requirements

All recipients of Section 5310 capital and/or operating funding are required to implement an appropriate driver training program. DRPT recommends utilizing the Passenger Assistance, Safety, and Sensitivity (PASS) training program through the Community Transportation Association of America and may have RTAP funding available to support this expense. Please consult your Transit Programs Manager with questions.

If PASS training is not an option, training programs should include, at a minimum:

- Title VI training, including the process to file a Title VI complaint

- ADA training, including the process to request an accommodation or file an ADA complaint
- Securement
- Driver safety, including defensive driving
- Accident procedures
- Passenger safety and sensitivity
- Passenger assistance, if provided
- Any and all applicable transit policies instituted by the subrecipient organization

All subrecipients providing this type of training are required to maintain records on staff who are trained, which could include a list of staff trained on a specific date or certificates provided through a training course. These are reviewed during the triennial compliance review process.

Vehicle Maintenance and Pre-Trip Inspection

Section 5310 vehicle subrecipients must have a written maintenance plan for vehicles and related equipment. Elements of the plan must include the following:

- Standards for proper care and longevity for the vehicles, including defined intervals for preventative maintenance (such as oil changes at every 5,000-mile interval)
- Procedures to maintain project equipment at a high level of cleanliness, safety, and mechanical soundness
- Procedures to maintain all accessibility features and equipment in good operating condition
- Procedures to track when preventive maintenance inspections are due and to schedule preventive maintenance inspections in a timely manner (plans must specify mileage intervals for preventative maintenance)
- Procedures to maintain files that contains daily logs, inspection checklists, and repair records
- Procedures to maintain pre-trip inspection program that addresses vehicle condition, appearance and cleanliness, safety and ADA accessibility

Preventive maintenance records will be inspected by DRPT to ensure proper maintenance and inspections are conducted when due.

Post-Accident and Out-Of-Service Procedures

Every Section 5310 vehicle subrecipient should develop post-accident procedures to guide drivers in the event of an accident. The procedures should include specific guidance about how to handle accidents in Section 5310-funded vehicles.

If a Section 5310-funded vehicle is involved in an accident or other incident in which it is damaged, the subrecipient must notify DRPT's Human Services Transit Programs Manager within 24 hours. The notification should include information about how the accident occurred, what damage was incurred, and whether there were any injuries in the Section 5310 vehicle or other vehicles involved in the accident.

Where reparable vehicle damage occurs, the subrecipient agrees to utilize the full sum of any insurance settlement for the sole purpose of having the damage repaired in a timely manner by a reputable and qualified establishment. The subrecipient must furnish the DRPT Human Services Transit Programs Manager with evidence that the repairs have been completed.

Where the damage is irreparable or the vehicle is determined to be a total loss, the subrecipient shall hold the full amount of any insurance settlement until it receives instructions from the DRPT Human Services Transit Programs Manager regarding proper disposition of the money.

In no case shall the subrecipient fail to repair damage to a vehicle where repairs are possible, nor shall the subrecipient utilize any part of a settlement received from the loss of a vehicle for any purpose other than prescribed by DRPT.

Subrecipients should notify DRPT within 24 hours of the following:

- Vehicle needs major repairs to one or more components,
- Wheelchair lift is not functioning properly,
- Vehicle is damaged in a natural disaster, and/or
- There is a pending lawsuit regarding transportation.

Property Disposition Policy and Procedures

Every Section 5310 vehicle subrecipient should develop a property disposition policy and procedure for handling disposition of Section 5310-funded vehicles.

Providers must use Section 5310 vehicles for approved project purposes for as long as the vehicles are owned by the subrecipient agency.

Once vehicles have reached their useful life (four years and 100,000 miles), agencies may choose to dispose of the vehicles by sale, donation, or other means. Subrecipients that apply for replacement vehicles for Section 5310-funded vehicles are required to

remove the vehicle to be replaced from regular service and may only use the vehicle as a back-up or spare for intermittent approved program use. These vehicles may not be used to provide other service or for any other purpose than was described in the original application that led to their award.

DRPT is responsible to the federal government for the appropriate usage and disposition of this equipment, so DRPT maintains the title on all Section 5310 vehicles for as long as they are owned and operated by the subrecipient. Only upon planned disposition of a vehicle may an agency request the release of a title and lien from DRPT. Liens will not be released on vehicles that will continue to be used by the agency.

When a subrecipient plans to dispose of a vehicle, the subrecipient should send a written request for approval to dispose of the vehicle to the DRPT Human Services Transit Programs Manager listing the VIN, year, make, and model, in-service date, and current mileage.

Upon approval and if the original title is available, DRPT will provide the title with the signed lien release and a lien release letter. If the original title is unavailable, DRPT will provide a signed lien release letter than the subrecipient can use to request a new, duplicate title through DMV. In no event will DRPT request duplicate or replacement titles from DMV or pay any titling fees. These tasks and fees are the sole responsibility of the subrecipient agency. Upon receipt of the title or lien release letter, the subrecipient must immediately transfer the title into its agency name. The vehicle may not be sold or transferred to another agency until the title is transferred.

Once the subrecipient disposes of the vehicle, it is required to report the sales price to the DRPT Human Services Transit Programs Manager. Failing to report the proceeds of a sale of \$5,000 or more will result in a finding in the organization's next compliance review. The program manager will respond with whether the federal proceeds are to be used to reduce the gross project cost of other future Section 5310 capital awards or returned to DRPT. If the federal portion is retained by the subrecipient, it must record the receipt of proceeds in the subrecipient's accounting system and show that the funds are restricted for future use for Section 5310 purposes.

If new applications are not immediately anticipated, the recipient must inform the appropriate DRPT contact of the disposition within a reasonable amount of time. Otherwise, the subsequent capital application should contain information that the gross project cost has been reduced with proceeds from earlier capital disposition. DRPT will notify FTA as appropriate.

The subrecipient must update TransAM by recording the disposition, final mileage, sales price, and date. The subrecipient must also register the sale with the DMV. This

can be completed online and it protects both the subrecipient and DRPT in case the vehicle purchaser does not complete the registration of the vehicle in their name.

Disposition of equipment before the end of useful life requires DRPT approval prior to the disposition; DRPT will then notify FTA. If a subrecipient no longer needs the vehicle for the purpose for which it was acquired and requests a title for a vehicle that is not past its useful life, DRPT will seek to have the vehicle transferred to another eligible subrecipient. The original subrecipient will be reimbursed for local interest of the fair market value of the vehicle by the new subrecipient. If DRPT cannot find an eligible subrecipient for the vehicle and DRPT and FTA approve the sale of the vehicle by the original subrecipient, the federal interest of the proceeds of the vehicle sale must be returned to DRPT.

Record Retention

Every Section 5310 subrecipient must develop a record retention policy relating to Section 5310 projects.

All records related to Section 5310 projects are required to be retained for the life of the project plus three years.

Operating and mobility management projects are provided one-year demonstration periods ending on September 30. The record retention duration for an operating or mobility management project is the one-year demonstration period plus three years following the end of the period on September 30. For example, records for a project that begins on October 1, 2024, should be retained until September 30, 2028.

The record retention timeframe for vehicles funded through the Section 5310 program depends on the vehicle's use by an individual subrecipient. Records must be retained for as long as a Section 5310 vehicle is used by an agency plus three years. The shortest record retention timeframe for Section 5310 vehicle would be seven years if the agency only retained the vehicle until it reached the end of its four years of useful life and incurred 100,000 miles during that timeframe.

Charter and School Bus Policy

Every Section 5310 subrecipient is required to enact a Charter and School Bus policy for its agency, stating that charter and school bus services may not be provided with Section 5310 funds or assets. The subrecipient may choose to write its own policy or use the sample text provided below.

Rural Transit Assistance Program (RTAP)

DRPT administers the [FTA Section 5311 Rural Transit Assistance Program \(RTAP\) scholarship](#), for which some Section 5310 subrecipients may be eligible.

Subrecipients located in rural and small urban areas are eligible to apply, while only nonprofit human service transportation agencies in the large urbanized areas of Roanoke, Richmond, and Hampton Roads are eligible to apply.

These RTAP funds are primarily available to Section 5311 programs, which will be prioritized over Section 5310 applicants. However, Section 5310 programs may seek RTAP scholarships to further the development of project-relevant skills by attending transit training, seminars, workshops, and conferences. This program does not provide funding to establish baseline skills or to resolve internal conflicts through mediation. Programs approved for certificate programs will be required to provide proof of satisfactory completion prior to reimbursement.

Scholarships are available to reimburse organizations for courses, workshops, seminars, driver roadeos, and conferences with subject matter applicable to rural and specialized transportation and appropriate to the level of expertise of the person(s) attending. Scholarship funds may not be used for lobbying activities and may not be passed through to for-profit organizations under contract to FTA Section 5310 subrecipients.

All RTAP requests must be submitted through the online application process and will be considered if the applicant organization submitted an RTAP training projection with its regular Section 5310 application. Organizations that do not plan ahead for training may be denied RTAP scholarships.

All approved RTAP grant scholarships will be reimbursed up to 100% of eligible expenses.

Application Details

Please keep in mind the following as you complete the application request:

- Maximum reimbursement rates for hotel rooms, hotel taxes, and meals are limited to rates in the effective edition of the Federal General Services Administration (GSA) Travel Guidelines and should be included in the training assistance application.
- Meals provided as part of the conference or training should be identified and deducted per GSA Per Diem rates.
- Air, bus, and train fares must be booked at the lowest available coach rates. Consider possible airfare increases between the time of your application submittal and the time the request is approved. Estimated luggage fees should also be itemized.

- Include any registration fees in the request.
- Rental car fees and mileage are not eligible for reimbursement.
- Once the application is approved, increases cannot be made in the request.
- An agency staff member will only be considered for one out-of-state conference or training per year, but there is currently no limit on in-state conferences or trainings

KEY STEPS

1. **Application:** Applications for training assistance should be submitted through DRPT's online grant management system at least 30 days prior to the requested program. DRPT's RTAP funding opportunity provides an RTAP Budget and Reimbursement Template (excel spreadsheet) that all applicants should use to outline expenses and information about the request. The request should include the program to be attended, name and title of all staff to attend, detailed description on how the program will benefit the agency and staff, an itemized list of estimated expenses, and an agenda or brochure describing the program to be attended.
2. **Application Review:** All applications will be reviewed by DRPT Human Services Transit Programs Manager for organization eligibility and program applicability. The individual submitting the application will be contacted if additional information is needed.
3. **Invoicing:** When approved, an invoice will be created in the online grant management system.
4. **Reimbursements:** Reimbursement for expenses will be made to the agency, not the individual. To receive reimbursement, recipients should submit a detailed list of daily expenses on the same RTAP Budget and Reimbursement Template that was submitted. The request should also include copies of hotel bills and receipts for all other travel expenses, except meals. Reimbursement for meals will be in accordance with the applicable GSA Per Diem rates. Awardees DO NOT need to track individual meal expenses nor submit receipts for meals. The reimbursement request must be submitted to DRPT within 30 days of completion of travel.
5. **Unspent balances:** Unspent balances must be deobligated.

DRPT Communications Support

Our communication team's primary purpose is to help tell the story of what you, our partners, do in the Commonwealth to improve people's lives through transportation. The communications team is led by DRPT's Chief of External Affairs and a team of marketing specialists. They are eager to help in any way they can whether that be with assisting with drafting Press Releases or issuing joint releases. They can also help with creating social media content or sharing posts, planning public events, collecting, and producing photography.

If you would like to solicit the help of the DRPT communications team, please reach out directly to drptpr@drpt.virginia.gov.

DRPT-Subrecipient Partnership Recognition

The following are options for how partner agencies can credit the Virginia Department of Rail and Public Transportation on public materials about services that are provided through DRPT funding.

The language should be included on any public materials that describe the services, including but not limited to, websites, brochures or handouts, and media releases. The purpose is to acknowledge DRPT's partnership with transit agencies.

Language options

The Virginia Department of Rail and Public Transportation is supporting this [project/initiative/program] with state and federal funding.

This [project/initiative/program] is supported by state and federal funding from the Virginia Department of Rail and Public Transportation.

Use of DRPT Logo

Please do NOT use the DRPT logo on any public facing materials without review from a DRPT staff member. Email any materials, or request use of the logo, by contacting drptpr@drpt.virginia.gov.

APPENDIX I: Grant Application

I.A. Traditional Section 5310 Projects

The FTA requires that at least 55% of each area's annual apportionment be utilized for capital projects, including purchasing or repowering accessible vehicles, contracting for transportation services through a federally compliant Request for Proposals (RFP) process, and mobility management.

Eligible capital expenses that meet the 55% requirement include:

1. The capital cost of contracting for the provision of transit services for seniors and individuals with disabilities and other specialized shared-ride transportation services
2. Rolling stock and related activities for FTA Section 5310 funded vehicles:
 - a. Acquisition of expansion or replacement ADA-accessible buses or vans, and related procurement, testing, inspection, and acceptance costs
 - b. Preventative maintenance
 - c. Radios and communication equipment for the vehicle
 - d. Vehicle wheelchair lifts, ramps, and securement devices
3. Passenger facilities related to Section 5310-funded vehicles, including the purchase and installation of benches, shelters, and other passenger amenities
4. Support equipment for FTA Section 5310 funded vehicles:
 - a. Extended warranties that do not exceed the industry standard
 - b. Computer hardware and software
 - c. Transit-related intelligent transportation systems (ITS)
 - d. Dispatch systems
 - e. Fare collection systems
5. Acquisition of transportation services under a contract, lease, or other arrangement
6. Support for mobility management and coordination programs among public transportation providers and other human service agencies providing transportation, which enhance transportation access for populations beyond those served by one agency or organization within a community. For example, a nonprofit agency could receive FTA Section 5310 funding to support the administrative costs of sharing services it provides to its own clientele with other seniors and/or individuals with disabilities and coordinate usage of vehicles with other nonprofits, but not

the operating costs of service. Mobility management is intended to build coordination among existing public transportation providers and other transportation service providers with the result of expanding the availability of service. Mobility management activities may include:

- a. The promotion, enhancement, and facilitation of access to transportation services, including the integration and coordination of services for individuals with disabilities, seniors, and low-income individuals
- b. Support for short-term management activities to plan and implement coordinated services
- c. The support of state and local coordination policy bodies and councils
- d. The operation of transportation brokerages to coordinate providers, funding agencies, and passengers
- e. The provision of coordination services, including employer-oriented transportation management organizations' and human service organizations' customer-oriented travel navigator systems and neighborhood travel coordination activities such as coordinating individualized travel training and trip planning activities for customers
- f. The development and operation of one-stop transportation traveler call centers or websites to coordinate transportation information on all travel modes and to manage eligibility requirements and arrangements for customers among supporting programs
- g. Operational planning for the acquisition and implementation of intelligent transportation technologies to help plan and operate coordinated systems inclusive of geographic information systems (GIS) mapping, global positioning system technology, coordinated vehicle scheduling, dispatching and monitoring technologies, technologies to track costs and billing in a coordinated system, and single smart customer payment systems. (Acquisition of technology is also eligible as a standalone capital expense).

I.B. Non-traditional Section 5310 Projects

The FTA allows up to 45% of each areas' annual apportionments to be utilized for:

1. Public transportation projects (capital only) planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, inappropriate, or unavailable;
2. Public transportation projects (capital and operating) that exceed the requirements of ADA:
 - a. Enhancing paratransit beyond minimum requirements of the ADA. ADA-complementary paratransit services can be eligible under the FTA Section 5310 program in several ways:
 - i. Expansion of paratransit service parameters beyond the three-fourths of a mile required by the ADA;
 - ii. Expansion of current hours of operation for ADA paratransit services that are beyond those provided on the fixed-route services;
 - iii. The incremental cost of providing same-day service;
 - iv. The incremental cost (if any) of making door-to-door service available to all eligible ADA paratransit riders, but not on a case-by-case basis for individual riders in an otherwise curb-to-curb system;
 - v. Enhancement of the level of service by providing escorts or assisting riders through the door of their destination;
 - vi. Acquisition of vehicles and equipment designed to accommodate mobility aids that exceed the dimensions and weight ratings established under the ADA regulations, and labor costs of aides to help drivers assist passengers with oversize wheelchairs; and
 - vii. Installation of additional securement locations in public buses beyond what is required by the ADA.
 - b. Accessible "feeder" service (transit service that provides access) to commuter rail, commuter bus, intercity rail, and intercity bus stations, for which complementary paratransit service is not required under the ADA.

- c. Public transportation projects (capital and operating) that improve access to fixed route service and decrease reliance by individuals with disabilities on ADA complementary paratransit service;
 - d. Travel training: Training programs for individual users on awareness, knowledge, and skills of public and alternative transportation options available in their communities. This includes travel instruction and travel training services.
3. Alternatives to public transportation (capital and operating) that assist seniors and individuals with disabilities with transportation. The following activities are examples of projects that are eligible public transportation alternatives.
- a. The FTA Section 5310 program can provide vouchers to seniors and individuals with disabilities to purchase rides, including: (a) mileage reimbursement (for use of personal vehicles at GSA rate) as part of a volunteer driver program; (b) a taxi trip; or (c) trips provided by a human service agency. Providers of transportation can then submit the voucher for reimbursement to the recipient for payment based on predetermined rates or contractual arrangements. Vouchers are an operational expense that require a 50/50 (federal/local) match. Transit passes for existing fixed route or ADA complementary paratransit service are not eligible.
 - b. Operating expenses limited to publicly available transportation provided only to seniors and individuals with disabilities. Programs that provide programmatic transportation to a set client base are not eligible for operating support. Eligible expenses include driver salaries, fuel expenses, and preventive maintenance, and relevant software service expenses. Operating projects must be described and promoted as transportation services for seniors and individuals with disabilities on the agency's websites and in other public-facing publications.

I.C. Line-item Budget

Applicants requesting operating or mobility management funding must complete and attach a 12-month line item budget using the provided template. The budget period is October 1 through September 30. The budget excel file template provided in OLGA has two tabs: “Budget” and “Fuel, Maint, Ins.”

Example: Program XYZ proposes to add a new route, which includes a full-time driver’s salary and benefits, supplies, marketing for the new route, fuel, maintenance, insurance, and the de minimus indirect rate of 10%.

Budget Item (Insert more lines if needed) <small>Personnel: List personnel by position, FTE or hours X hourly rate. Other Budget Items: Describe budget items and provide applicable quantities.</small>	Salaries and Wages	Fringe Benefits	Materials and Supplies	Fuel, Maintenance and Insurance	Marketing	Equipment	Other (Describe)	Indirect Cost Rate	
Driver salary (1 FTE)	\$32,000								
Driver benefits		\$11,200							
Miscellaneous Supplies			\$2,000						
Marketing					\$2,000				
Fuel (Complete "Fuel, Maint, Ins" tab)				\$6,667					
Maintenance (Complete "Fuel, Maint, Ins" tab)				\$8,889					
Insurance (Complete "Fuel, Maint, Ins" tab)				\$5,556					
Sub Totals:	\$32,000	\$11,200	\$2,000	\$21,111	\$2,000	\$0	\$0	\$23,111	
								\$68,311	\$23,111
COLOR CODES									
These items auto sum. Do not enter text in these fields.									
These items auto calculate. Do not enter text in these fields. If requesting assistance with fuel, maintenance, or insurance, provide the required information in the "Fuel, Maint, Ins" tab.								Modified Total Direct Cost:	\$45,200
These items auto calculate using the indirect cost rate in cell G27. If requesting assistance with indirect costs, enter up to 10% in cell G27.								Enter indirect cost rate in G27 if using: 10.0%	Indirect Costs: \$4,520
								Budget Items Sub Total:	\$68,311
								TOTAL:	\$72,831

“Fuel, Maint, Ins” Tab Sample

Budget Item	Total Budget	Number of Vehicles Included in Budget	Number of Vehicles Used for Proposed Project	Number of Weekly Service Hours	Number of Weekly Service Hours for Project Vehicles
Fuel	150,000.00	15	1	60	40
Maintenance	200,000.00	15	1	60	40
Insurance	125,000.00	15	1	60	40

I.D. Sample Public Notice

Colonial Behavioral Health (CBH) in York provides transportation to/from CBH programs and community locations to seniors and individuals with developmental and other disabilities who live in James City, Poquoson, Williamsburg, and York. CBH is requesting funds from the Commonwealth of Virginia to purchase two minivans with wheelchair ramps (\$150,000) through the FTA Section 5310 program to continue this transportation service. The vehicles will be used regularly between 6:30 a.m. and 5:30 p.m. Monday-Friday and other times as needed. CBH invites interested public and private transit and paratransit operators in Hampton Roads to comment on the proposed vehicle replacements by sending written notice by Feb. 1, 2024, to: Virginia Department of Rail and Public Transportation – Public Transportation Division, 600 E. Main Street, Suite 2102, Richmond VA 23219 and to Colonial Behavioral Health, 473 McLaws Circle, Williamsburg, VA 23185.

I.E. Sample Letter of Notification to Local Transportation Provider

Dear Sir or Madam:

Pleasant View Home and Regional Center in Broadway, Virginia, intends to provide a fixed mini-bus route for people with developmental disabilities in the County of Rockingham, which includes the City of Harrisonburg, Towns of Broadway, Bridgewater, Dayton, Elkton, Grottoes, Mt. Crawford, and Timberville. The purpose is to transport these individuals to and from Developmental Day Programs, and other community integration and socialization projects that are deemed necessary to increase the independence of people with the developmental disabilities.

Funds are being requested from the Commonwealth of Virginia's Department of Rail and Public Transportation to purchase a 9-passenger van with lift through the FTA Section 5310 Program. It is the intent of this federal program to maximize coordination amongst transportation providers to the greatest extent possible to enhance resource-sharing opportunities.

We invite you, as a local provider within the Harrisonburg-Rockingham area, to comment on the proposed services. We are particularly interested in exploring opportunities to work with your agency to coordinate services, share resources, or pursue other activities that will mutually benefit our transportation programs. If you are interested in exploring this further, please notify us at the Pleasant View Home and Regional Center, P.O. Box 426, Broadway, Virginia 22815.

If you have any questions about our proposal, please feel free to call me.

Sincerely,

John Doe
Executive Director

I.F. Sample Letter to Metropolitan Planning Organizations

Gary Christie
Executive Director
Central Virginia MPO
828 Main Street, 12th Floor
Lynchburg, VA 24504

Dear Mr. Christie:

The Central Virginia Area Agency on Aging (CVAAA) is seeking capital assistance from the Commonwealth of Virginia through the FTA Section 5310 Program to purchase transportation equipment. As part of the application process, we are required to notify our Metropolitan Transportation Planning Organization of our proposed grant request. If the project is approved by the Virginia Department of Rail and Public Transportation (DRPT) and included in its draft Six-Year Improvement Program released in April, we request that the project be included in the annual element of the Transportation Improvement Program (TIP), if approved by DRPT. CVAAA is requesting funding to purchase three 9-passenger vans with lifts. The total cost of the project is approximately \$300,000. The federal grant is for 80% of the total cost with CVAAA being responsible for the 20% balance.

Our plan is to provide demand-responsive transportation for our senior clients in the Lynchburg metropolitan area to agency-related activities, medical appointments, grocery stores, and other destinations.

DRPT will notify the MPO of the applications that will be considered for approval. At that time, we are requesting that the MPO incorporate the project in its TIP under FY22.

If you have any questions about our proposal, please feel free to call me.

Sincerely,

John Doe
Executive Director

I.G. Sample Page from Quarterly Report

Capital - Vehicle Work Plan								
Requirement Status	Activity Description	Indicator	Target / Actual	Q1 October - December (submit to DRPT in January's reimbursement request)	Q2 January - March (submit to DRPT in April's reimbursement request)	Q3 April - June (submit to DRPT in July's reimbursement request)	Q4 July - September (submit to DRPT in October's reimbursement request)	
	<i>Describe an activity to help reach your proposed goals and objectives.</i>	<i>List one indicator you plan to track for the activity. If you want to track more than one indicator per activity, use a new row.</i>	<i>Enter the target for the year in the highlighted cell below.</i>	<i>Enter your actual progress for the quarter in the highlighted cell below. Provide any comments in the appropriate cell.</i>	<i>Enter your actual progress for the quarter in the highlighted cell below. Provide any comments in the appropriate cell.</i>	<i>Enter your actual progress for the quarter in the highlighted cell below. Provide any comments in the appropriate cell.</i>	<i>Enter your actual progress for the quarter in the highlighted cell below. Provide any comments in the appropriate cell.</i>	<i>Enter your actual progress for the quarter in the highlighted cell below. Provide any comments in the appropriate cell.</i>
Optional	Provide rides	Number of rides requested	Target	1000	250	250	250	250
			Actual	0				
			Percent of Target	0.0%	0.0%	0.0%	0.0%	0.0%
			Comments					
Optional	Provide rides	Number of rides scheduled	Target		0	0	0	0
			Actual	0				
			Percent of Target	0	0	0	0	0
			Comments					
Required	Provide rides	Number of rides provided (unlinked passenger trips)	Target	900	225	225	225	225
			Actual	0				
			Percent of Target	0.0%	0.0%	0.0%	0.0%	0.0%
			Comments					
Required	Use accessibility equipment	Lift count	Target	550	138	138	138	138
			Actual	0				
			Percent of Target	0.0%	0.0%	0.0%	0.0%	0.0%
			Comments					
Required	Use accessibility equipment	Number of passengers using mobility devices	Target	30	8	8	8	8
			Actual	0				
			Percent of Target	0.0%	0.0%	0.0%	0.0%	0.0%
			Comments					
			Target		0	0	0	0
			Actual	0				
			Percent of Target	0	0	0	0	0
			Comments					
			Target		0	0	0	0
			Actual	0				
			Percent of Target	0	0	0	0	0
			Comments					
			Target		0	0	0	0
			Actual	0				
			Percent of Target	0	0	0	0	0
			Comments					

APPENDIX II: General Grant Management

II.A. Sample Title VI Notice

RIGHTS UNDER TITLE VI

THE CITY OF USA TRANSIT AUTHORITY

The City of USA Transit Authority (the Authority) operates its programs and services without regard to race, color, and national origin in accordance with Title VI of the Civil Rights Act. Any person who believes they have been aggrieved by any unlawful discriminatory practice under Title VI may file a complaint with the Authority.

For more information on the Authority's civil rights program, and the procedures to file a complaint, please call XXX.XXX.XXXX, (TTY / TTD XXX.XXX. XXXX or 711); email title.vi.coordinator@city.ca.us; or visit our administrative office at XXX Main Street, City of USA, State XXXXX. For more information, visit www.city.xx.us

A complainant may file a complaint directly with the Federal Transit Administration by filing a complaint with the Office of Civil Rights, Attention: Title VI Program Coordinator, East Building, 5th Floor-TCR, 1200 New Jersey Avenue SE, Washington, DC 20590

If information is needed in another language, please call XXX.XXX.XXXX.

(make sure the sentence above is also provided in any language(s) spoken by Limited English Populations (LEP) that meets the safe harbor threshold (LEP language groups that constitute 5% or 1,000 persons, whichever is less, of your total

Note: Only race, color, and national origin are covered by the Civil Rights Act of 1964. Do not expand the protected discrimination classes to include other classes (e.g. age, sex, etc.). Your agency may enact a separate non-discrimination policy for other classes; however, only race, color, and national origin are covered by the Civil Rights Act of 1964.

Please make sure the Title VI Notice renders as HTML or accessible PDF document.

II.B. Sample Title VI Complaint Form

TITLE VI COMPLAINT FORM			
Section I:			
Name: _____			
Address: _____			
Telephone (Home): _____		Telephone (Work): _____	
Electronic Mail Address: _____			
Accessible Format Requirements?	Large Print TDD	Audio Tape Other	
Section II:			
Are you filing this complaint on your own behalf?		Yes*	No
*If you answered "yes" to this question, go to Section III.			
If not, please supply the name and relationship of the person for whom you are complaining:		_____	
Please explain why you have filed for a third party: _____			
Please confirm that you have obtained the permission of the aggrieved party if you are filing on behalf of a third party.		Yes	No
Section III:			
I believe the discrimination I experienced was based on (check all that apply):			
<input type="checkbox"/> Race <input type="checkbox"/> Color <input type="checkbox"/> National Origin			
Date of Alleged Discrimination (Month, Day, Year): _____			
Explain as clearly as possible what happened and why you believe you were discriminated against. Describe all persons who were involved. Include the name and contact information of the person(s) who discriminated against you (if known) as well as names and contact information of any witnesses. If more space is needed, please use the back of this form.			

Section IV:			
Have you previously filed a Title VI complaint with this agency?		Yes	No
Section V:			
Have you filed this complaint with any other Federal, State, or local agency, or with any Federal or State court?			
<input type="checkbox"/> Yes <input type="checkbox"/> No			

If yes, check all that apply:	
<input type="checkbox"/> Federal Agency: _____	<input type="checkbox"/> State Agency: _____
<input type="checkbox"/> Federal Court: _____	<input type="checkbox"/> State Court: _____
<input type="checkbox"/> State Court: _____	<input type="checkbox"/> Local Agency: _____
Please provide information about a contact person at the agency/court where the complaint was filed.	
Name: _____	
Title: _____	
Agency: _____	
Address: _____	
Telephone: _____	
Section VI	
Name of agency complaint is against: _____	
Contact person: _____	
Title: _____	
Telephone number: _____	

You may attach any written materials or other information that you think is relevant to your complaint.

Signature and date required below

Signature _____ Date _____

Please make sure the Title VI Complaint Form is in a downloadable PDF document.

II.C. Sample Title VI Complaint Procedures

TITLE VI COMPLAINT PROCEDURES

THE CITY OF USA TRANSIT AUTHORITY

Any person who believes they have been discriminated against on the basis of race, color, or national origin by the City of USA Transit Authority (the Authority) may file a Title VI complaint by completing and submitting the agency's Title VI complaint form. The Authority investigates complaints received no more than 180 days after the alleged incident. The Authority will process complaints that are complete.

Once the complaint is received, the Authority will review it to determine if our office has jurisdiction. The complainant will receive an acknowledgement letter informing them whether the complaint will be investigated by our office.

The Authority has 60 days to investigate the complaint. If more information is needed to resolve the case, the Authority may contact the complainant. The complainant has 10 business days from the date of the letter to send requested information to the investigator assigned to the case. If the investigator is not contacted by the complainant or does not receive the additional information within 10 business days, the Authority can administratively close the case. A case can be administratively closed also if the complainant no longer wishes to pursue their case.

After the investigator reviews the complaint, they will issue one of two letters to the complainant: a closure letter or a letter of finding (LOF). A closure letter summarizes the allegations and states that there was not a Title VI violation and that the case will be closed. An LOF summarizes the allegations and the interviews regarding the alleged incident, and explains whether any disciplinary action, additional training of the staff members, or other action will occur. If the complainant wishes to appeal the decision, they have 15 days after the date of the letter or the LOF to do so.

A person may also file a complaint directly with the Federal Transit Administration, at FTA Office of Civil Rights, 1200 New Jersey Avenue SE, Washington, DC 20590.

Please make sure the Title VI Complaint Procedures render as HTML or accessible PDF document.

II.D. Sample ADA Notice

NOTICE UNDER THE AMERICANS WITH DISABILITIES ACT

THE CITY OF USA TRANSIT AUTHORITY

In accordance with the requirements of Title II of the Americans with Disabilities Act of 1990 (ADA), the City of USA Transit Authority (the Authority) will not discriminate against qualified individuals with disabilities on the basis of disability in its services, programs, or activities.

Employment: The Authority does not discriminate on the basis of disability in its hiring or employment practices and complies with all regulations by the U.S. Equal Employment Opportunity Commission.

Effective Communication: The Authority will generally, upon request, provide appropriate aids and services leading to effective communication for qualified persons with disabilities so they can participate equally in our programs, services, and activities, including qualified sign language interpreters, documents in Braille, and other ways of making information and communications accessible to people who have speech, hearing, or vision impairments.

Modifications to Policies and Procedures: The Authority will make all reasonable modifications to policies and programs to ensure that people with disabilities have an equal opportunity to enjoy all of its programs, services, and activities.

Anyone who requires an auxiliary aid or service for effective communication, or a modification of policies or procedures to participate in our program, service, or activity, should contact our ADA Coordinator at XXX.XXX.XXXX or title.vi.coordinator@city.ca.us as soon as possible but no later than 48 hours before the scheduled event.

The ADA does not require the Authority to take any action that would fundamentally alter the nature of its programs or services, or impose any undue financial or administrative burden.

Complaints that an Authority program, service, or activity is not accessible to persons with disabilities should be directed to our ADA Coordinator at XXX.XXX.XXX or title.vi.coordinator@city.ca.us

The Authority will not place a surcharge on a particular individual with a disability or any group of individuals with disabilities to cover the cost of providing auxiliary aids / services or reasonable modifications of policy.

Please make sure the ADA Notice renders as HTML or accessible PDF document.

II.E. Sample ADA Complaint Form

<div style="display: flex; justify-content: space-between; align-items: center;">   </div> <p style="text-align: center;">CITY OF FAIRFIELD FAIRFIELD AND SUISUN TRANSIT (FAST) Title II of the Americans with Disabilities Act Section 504 of the Rehabilitation Act of 1973 Discrimination Complaint Form</p> <p><input type="checkbox"/> Please fill out this form completely. <input type="checkbox"/> Print or type the information. <input type="checkbox"/> Sign and return this form to the address shown below.</p> <p>Complainant Name: _____</p> <p>Address: _____</p> <p>City, State, and Zip: _____</p> <p>Home Phone: _____ Cell Phone: _____</p> <p>Email: _____</p> <p>Person discriminated against (if other than complainant): _____</p> <p>Address: _____</p> <p>City, State, and Zip: _____</p> <p>Home Phone: _____ Cell Phone: _____</p> <p>Email: _____</p> <p>Government, organization, or institution which you believe has committed a discriminating act: Complainant Name: _____ Address: _____</p>	<p>City, State, and Zip: _____</p> <p>Home Phone: _____ Cell Phone: _____</p> <p>Email: _____</p> <p>When did the discrimination occur? Date: _____ Time: _____</p> <p>Where did the discrimination occur? Location: _____</p> <p>Describe the acts of discrimination providing names (where possible) of individuals along with details of the incident including the bus and route numbers (if applicable): _____ _____ _____ _____ _____ _____ _____</p> <p>Has the complaint been filed with the Department of Justice or any other Federal, State, or local civil rights agency or court? Yes: _____ No: _____</p> <p>If yes, please provide the following information: Agency or Court: _____ Contact Person: _____ Address: _____ City, State, and Zip: _____</p>
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Note: This may be the same form used as the Title VI complaint form. However, it must include an additional checkbox to indicate the nature of the discrimination claimed (Race / Color / National Origin / Disability). A separate ADA complaint form may also be used (as shown above).

Please make sure the ADA Complaint Form is in a downloadable PDF document.

II.F. Sample ADA Complaint Procedures

THE CITY OF USA TRANSIT AUTHORITY

This grievance procedure is established to meet the requirements of the Americans with Disabilities Act (ADA) of 1990. It may be used by anyone who wishes to file a complaint alleging discrimination on the basis of disability in the provision of services, activities, programs, or benefits by the City of USA Transit Authority (the Authority).

The complaint should be in writing and contain information about the alleged discrimination such as name, address, phone number of complainant; and location, date and description of the alleged discrimination. Alternative means of filing complaints, such as personal interviews or tape recording of the complaint will be made available for persons with disabilities upon request.

The complaint should be submitted no later than 60 calendar days after the alleged violation to:

ADA Coordinator, The City of USA Transit Authority
XXX Main Street, City of USA, State XXXXX

TTY / TDD XXX.XXX.XXXX or 711

Within 15 calendar days after receipt of the complaint, the ADA Coordinator or their designee will meet with the complainant to discuss the complaint and the possible resolution. Within 15 calendar days of the meeting, the ADA Coordinator or his designee will respond in writing, and where appropriate, in a format accessible to the complainant, such as large print, Braille, or audio tape. The response will explain the Authority's position and offer options for substantive resolution of the complaint.

If the Authority's response does not satisfactorily resolve the issue, the complainant may appeal the decision within 15 calendar days after receipt of the response to the Secretary of Transportation.

All written complaints received by the Authority, appeals to the Secretary of Transportation, and responses from these two offices will be retained by the Authority for at least three years.

Please make sure the ADA Complaint Procedures render as HTML or a PDF document.

APPENDIX III: Capital – Vehicle Grant Management

III.A. Sample Pre-Trip Inspection Log

Vehicle #:	Inspection Month:	Tag Month:	ODO Reading:
<p>PRE-TRIP INSPECTION INSTRUCTIONS: Driver must inspect their assigned vehicle to be sure all equipment is present and in good working condition. Report all damaged or missing property immediately to (insert contact). Place an (X) in the appropriate box for each item reviewed. If further explanation is necessary, write information in the comment box.</p>			
		OK	NEEDS ATTENTION
			COMMENTS
CELL PHONE	KEEP WITH YOU & ON!		
Gauges	Fuel		
	Temperature		
	Dash Warning Light		
Lights	Headlights		
	Brake Lights		
	Turn Signals		
	Hazard Lights		
Other	Windshield Wipers		
	Fans & Defroster		
	Brakes		
	Mirrors		
	Horn		
	Exhaust System		
Tires	Properly Inflated		
	Adequate Tread		
Leaks (under)	Oil		
	Other		
Fluids (Weekly)	Date checked _____		
	Oil		
	Brake		
	Radiator		
	Transmission		
Cleanliness	Interior (including trash)		
	Exterior		
Safety Equip.	Fire Extinguisher		
	First Aid Kit		
	Reflective Triangles		
	Seat Belt Web Cutter		
	Disinfectant		
	Fluid Spill Kit		
	Hand Sanitizer		
	Wheelchair Lift (cycle)		
Driver Signature:		Date:	

III.B. Sample Charter and School Bus Policy

As a subrecipient of Section 5310: Enhanced Mobility of Seniors and Individuals with Disabilities funding, AGENCY NAME, is prohibited from using Section 5310 funds or vehicle assets to operate charter service or school bus transportation.

CHARTER SERVICE

The Federal Transit Administration's (FTA) Charter Service Regulations (49 CFR Part 604), which implement 49 U.S.C. 5323(d), protect private charter operators from unauthorized competition from FTA grant recipients. The Virginia Department of Rail and Public Transportation (DRPT), as the direct recipient of Section 5310 funding from the FTA, enforces this protection by prohibiting its subrecipients, contractors, and lessees from offering charter service using funds or assets awarded through DRPT.

Charter service means, but does not include demand response service to individuals:

- Transportation provided by a recipient at the request of a third party for the exclusive use of a bus or van for a negotiated price. The following features may be characteristic of charter service:
 - A third party pays the transit provider a negotiated price for the group;
 - Any fares charged to individual members of the group are collected by a third party;
 - The service is not part of the transit provider's regularly scheduled service, or is offered for a limited period of time; or
 - A third party determines the origin and destination of the trip as well as scheduling; or
- Transportation provided by a recipient to the public for events or functions that occur on an irregular basis or for a limited duration and:
 - A premium fare is charged that is greater than the usual or customary fixed route fare; or
 - The service is paid for in whole or in part by a third party.

SCHOOL BUS

Federally funded equipment or facilities cannot be used to provide exclusive school bus service. Further, DRPT prohibits subrecipients, contractors, and lessees of Section

5310 funding or vehicle assets from providing any school bus service, even if the service is incidental and does not interfere with the intent of the Section 5310 program.

For the purposes of this policy, school bus service is defined as transportation exclusively for school students, personnel, and equipment, and includes transporting individuals to or from a public or private school, including to or from a location in close proximity to the school that is not on a regular service route. School bus service includes service provided at any time during a school day or non-school day when a school function is scheduled, such as a field trip, sporting event, educational or other activity that would require an individual to travel to or from the school.

III.C. TransAM Guidance and Instructions

Account Management

Every Section 5310 subrecipient who receives vehicles needs a TransAM account for asset management. Subrecipients who receive funding for operating, mobility management, or non-vehicle capital projects do not need a TransAM account and will not be provided one.

Each agency will need to identify one staff person to serve in a management role for the TransAM account. DRPT's Human Services Transit Programs Manager can establish TransAM accounts for those agencies that do not have them, and create a user to fill the management role for each account.

Once an agency has an established TransAM account with a manager assigned, the manager is responsible for adding and deleting additional staff.

If any changes to the account are needed, such as changing the address, business name, website, or email address syntax, contact the DRPT Human Services Transit Programs Manager. Beyond these basic account maintenance activities, the subrecipient is solely responsible for account maintenance and vehicle data.

User Management

DRPT strongly recommends that each subrecipient have at least two TransAM users. Each user must have a separate account tied to an individual email address. Shared accounts are not permitted.

The staff person assigned the manager role at the subrecipient agency may add, update, and deactivate additional account users. If a new staff person needs to be assigned to the manager role, contact the DRPT Human Services Transit Programs Manager.

To make any changes to TransAM users, log in, click on the person icon at the top right, and then click Users.

To make changes to an existing user, find the user's name on the list and click on their last name to open their profile. At the top left, click on the Actions drop-down menu and choose the appropriate action from the list:

- **Update Profile:** Change the user's name, email address, title, phone number, time zone, or address.

- Note: Only business email addresses that follow the account syntax are allowed. If the subrecipient agency changes its business emails, contact the DRPT Human Services Transit Programs Manager to make this change to the overall TransAM account prior to attempting to update a user's profile.
- **Update Authorizations:** Change the primary and secondary organizations and user role.
 - Agencies may only have access to this option if they manage more than one TransAM account.
- **Reset Password:** Send an automatic email to the user to allow a password change. The user may also initiate this process by following the Forgot Password process on the TransAM login screen.
- **Deactivate:** Immediately deactivates a user. Each time staff turns over, any previous staff should be deactivated.
 - Note: If an agency does not deactivate its users upon turnover and a previous employee logs in and changes data, DRPT will not be able to recover it.

Adding a Vehicle

Every Section 5310 vehicle subrecipient must record all vehicles funded with Section 5310 funding in TransAM. **No vehicles purchased with any other funding may be recorded in TransAM.** This is a state asset management system to be used for the sole purpose of tracking vehicles and other equipment for which DRPT provides oversight. For the Section 5310 program, this includes only those vehicles that are purchased by DRPT and have DRPT listed as the lienholder.

Agencies have two business days from the date a vehicle is received to record it in TransAM.

Vehicles may be added in one of two ways: manual vehicle addition (recommended for adding one vehicle at a time; can be used for adding multiple vehicles) or bulk vehicle addition (for adding any number of vehicles at one time using an Excel spreadsheet).

Manual Vehicle Addition

1. Once logged into TransAM, click on the bus icon at the top left and then choose Add Asset.
2. Under FTA Asset Class, choose Buses (Rubber Tire Vehicles).

- a. Regardless of the size and type of vehicle received, all Section 5310 vehicles are recorded as Buses (Rubber Tire Vehicles). Do not choose any other option.
3. Click Create New Asset.
4. On the asset information screen, complete all required information:
 - a. **Organization:** The organization name will default to the subrecipient's name. If the subrecipient manages more than one TransAM account, choose the appropriate agency from the drop-down list.
 - b. **Service Status:** For all new Section 5310 vehicles, the service status should be In Service.
 - i. If a non-new vehicle is taken out of service for repairs or other reasons, it should be listed as Out of Service. A vehicle removed from service to be used as a spare should be listed as Spare.
 - c. **Vehicle Identification Number (VIN):** The VIN number appearing on the vehicle's VIN plates and titles, as assigned by the manufacturer.
 - d. **Asset ID:** The agency's identifying number for the vehicle. Do not use symbols in the asset ID.
 - e. **Class:** All Section 5310 vehicles are recorded as Buses (Rubber Tire Vehicles) regardless of size.
 - f. **Type:** Depending on the size of the vehicle, choose the appropriate vehicle type:
 - i. Minibus: 9-passenger raised roof van and 14-, 15-, and 19-passenger body on chassis vehicles with lifts.
 - ii. Minivan: 5-passenger minivan with ramp.
 - g. **Subtype:** Depending on the size of the vehicle, choose the appropriate vehicle type:
 - i. Bus < 30 ft.: 14-, 15- and 19-passenger body on chassis vehicles with lifts.
 - ii. Van: 5-passenger minivan with ramp and 9-passenger raised roof van with lift.
 - h. **Estimated Service Life (ESL) Category:** All Section 5310 vehicles choose the Light Duty Small Bus, Cutaways, and Modified Van category regardless of vehicle size.

- i. **Cost (Purchase):** The final total cost of the vehicle according to the purchase order provided by the state's vendor.
 - i. Funding Type: All Section 5310 vehicles are funded by the Enhanced Mobility for Seniors and Individuals with Disabilities (EMSID) program.
- j. **Direct Capital Responsibility:** All Section 5310 subrecipients have direct capital responsibility and choose Yes.
- k. **Percent Capital Responsibility:** All Section 5310 subrecipients have 100% capital responsibility for every Section 5310 vehicle.
- l. **Ownership Type:** All Section 5310 vehicles are granted to a single agency for use. The ownership type is Owned Outright by Private Entity (OOPE).
- m. **Purchased New:** All Section 5310 vehicles are purchased new.
- n. **Purchase Date:** Enter the date the vehicle was delivered to the subrecipient agency.
- o. **Manufacturer:** Refer to the delivery paperwork provided by the vendor with the new vehicle to determine the vehicle manufacturer (Braun, Ford, Driverge, etc.). Do not choose Other. If the manufacturer is not listed, contact the DRPT Human Services Transit Programs Manager for assistance.
- p. **Model:** The only model option is Other.
- q. **Model (Other):** Enter the actual vehicle model according to the delivery paperwork.
- r. **Year of Manufacture:** The year the vehicle was manufactured.
- s. **Fuel Type:** The type of fuel used to run the vehicle. Do not choose other.
- t. **Dual Fuel Type:** If Dual Fuel is selected as the Fuel Type, choose the specific Dual Fuel Type from the drop-down list.
- u. **Length:** Refer to the vehicle manual or conduct a Google search to determine vehicle length. Enter the length in feet.
- v. **Length Units:** Choose Feet.
- w. **Seating Capacity (ambulatory):** Enter the vehicle's seated capacity. Do not count wheelchair tie-downs as seats.
- x. **Standing Capacity:** Enter the standing capacity, if any.
- y. **ADA Accessible:** All Section 5310 vehicles are ADA accessible.

- z. **In Service Date:** Enter the first date on which the vehicle is used to provide transportation services. This date may not correspond with the delivery date.
 - aa. **Primary Mode:** All Section 5310 vehicles are OR – Other Vehicles Operated.
 - bb. **Service Type (Primary Mode):** All Section 5310 vehicles are DO – Directly Operated.
 - cc. **Dedicated Asset:** All Section 5310 vehicles are dedicated assets.
5. Click Add Asset & Go to New Record. Verify that all of the information about the vehicle is correct.

Bulk Vehicle Addition

1. Once logged into TransAM, click on the bus icon at the top left and then click on Bulk Updates. At the upper left of the Bulk Updates page, click on Create a new Template.
2. Under Template Type, choose New Inventory.
3. For the FTA Asset Class, choose Buses (Rubber Tire Vehicles).
4. Click Create template.
5. Download the file (Excel spreadsheet) and open it. Navigate to the Revenue Vehicles tab and enter all information about the vehicle. Refer to the Manual Vehicle Addition section above for instructions about what to enter or choose for each piece of required information.
6. Save the file.
7. Return to TransAM and click the bus icon at the top left and then click on Bulk Updates. At the upper left, click on Upload a Template.
8. Under Spreadsheet Content, choose New Inventory.
9. Click Choose File and then locate the completed file that is saved on your computer.
10. Click Upload spreadsheet. TransAM will automatically upload all of the information included in the spreadsheet.
11. To verify that the information has been uploaded, click on the bus icon at the top left and then click on Revenue Vehicles. Review your asset list for accuracy.

Editing a Vehicle

Whenever a vehicle's information needs to be updated, such as the service status, condition, or mileage, these changes must be recorded in TransAM.

1. Once logged into TransAM, click on the bus icon at the top left, hover over Revenue Vehicles, and then choose Buses (Rubber Tire Vehicles) to view your asset list.
2. Find the asset to be updated on the list and click its Asset ID to open the individual vehicle record.
3. Use the Actions menu at the upper right of the Revenue Vehicle Profile to Update or Record final disposition.
 - a. **Update:**
 - i. **Condition:** Record the current vehicle condition on a 0.0 to 5.0 point scale, with 5.0 being the highest condition rating.
 - ii. **Service Status:** List the vehicle as being In Service and actively used, Out of Service for repairs or other issues, or Spare for intermittent programmatic use only.
 - iii. **Mileage:** Record the current vehicle mileage.
 - iv. **Other items on this list:** Subrecipients may choose to record additional information about vehicles using the items in the Update drop-down list. However, DRPT only provides support for Condition, Service Status, and Mileage updates. If your agency chooses to use other features, they could be changed or disabled at any time.
 - b. **Record final disposition:** When a vehicle is being disposed of by sale, scrap, etc., record the disposition in TransAM.
 - i. Record the date of disposition, disposition type, sales proceeds (if applicable), mileage at disposition, and provide any comments regarding the disposition.
4. Use the Edit button in the Profile section of the Revenue Vehicle Profile to edit the vehicle's Identification & Classification, Characteristics, Funding, Procurement & Purchase, Operations, and Registration & Title information.

Bulk Vehicle Edits

1. Once logged into TransAM, click on the bus icon at the top left and then click on Bulk Updates. At the upper left of the Bulk Updates page, click on Create a new Template.
2. Under Template Type, choose Inventory Updates.
3. For the FTA Asset Class, choose Buses (Rubber Tire Vehicles).
4. Click Create template.
5. Download the file (Excel) and open it. Navigate to the Revenue Vehicles tab and enter all information about the vehicle. Refer to the Manual Vehicle Addition section above for instructions about what to enter or choose for each piece of required information.
6. Save the file.
7. Return to TransAM and click the bus icon at the top left and then click on Bulk Updates. At the upper left, click on Upload a Template.
8. Under Spreadsheet Content, choose Inventory Updates.
9. Click Choose File to locate the completed file on your computer.
10. Click Upload spreadsheet. TransAM will automatically upload all of the information included in the spreadsheet.
11. To verify that the information has been uploaded, click on the bus icon at the top left and then click on Revenue Vehicles. Review the Life Cycle Action Date column for the applicable vehicle(s) to ensure the records were updated.

Biannual Mileage, Condition, and Service Status Reporting

Every Section 5310 vehicle subrecipient must provide biannual mileage, condition, and service status updates in TransAM by July 15 and January 15. These updates may be provided by bulk update or manually by following the steps above.

Preventative Maintenance Updates

Subrecipients may choose to update their preventative maintenance records in TransAM, to include oil changes and state inspections. This process may be completed using the bulk update or manual processes described above. For a bulk update, the template type is Maintenance Updates. Updating maintenance is not a requirement for the Section 5310 program unless specifically stated by your Transit Programs Manager.

Disposing a Vehicle

When a vehicle is disposed by sale, donation, or other means, it should be recorded as disposed in TransAM to remove it from active asset management.

1. Once logged into TransAM, click on the bus icon at the top left and then click on Revenue Vehicles.
2. Find the asset to be marked as disposed on the asset list, and click its asset ID.
3. Click the Actions menu and then “Record final disposition.”
4. Enter all required information and click “Record disposition.”
 - a. The required information includes the date of disposal, type of disposition (sale, transferred, etc.), sales proceeds amount (if applicable), and mileage at disposition.